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**(54) Title:** APOPTOSIS INDUCED BY MONOCLONAL ANTIBODY ANTI-HER2**(57) Abstract**

Anti-Her2 antibodies which induce apoptosis in Her2 expressing cells are disclosed. The antibodies are used to "tag" Her2 overexpressing tumors for elimination by the host immune system. Also disclosed are hybridoma cell lines producing the antibodies, methods for treating cancer using the antibodies, and pharmaceutical compositions.

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## APOPTOSIS INDUCED BY MONOCLONAL ANTIBODY ANTI-HER2

Field of the Invention

The present invention relates to anti-Her2 antibodies and more particularly to anti-Her2 antibodies which induce apoptosis in Her2 expressing cells.

Background of the Invention

The Her2 oncogene encodes a membrane-associated glycoprotein referred to as p185<sup>HER-2</sup> having tyrosine kinase activity. Her2 is a member of the epidermal growth factor (EGF) receptor subfamily, which includes EGF receptor and Her3 and Her4 receptors (Kraus et al. Proc. Natl. Acad. Sci. USA 86, 9193-9197 (1989); Plowman et al. Proc. Natl. Acad. Sci. USA 90, 1746-1750 (1993)). The Her2 sequence was reported by Semba et al. (Proc. Natl. Acad. Sci. USA 82, 6497-6501 (1985)); Coussens et al. (Science 230, 1132-1139 (1985)) and King et al. (Science 229, 974-976 (1985)). A related rat gene was reported by Schecter et al (Nature 312, 515-516 (1984)).

Increased expression of the Her2 oncogene in tumor cells and cell lines has been reported by several groups (Coussens et al., supra; King et al., supra). The increased expression of Her2 results from gene amplification or increased expression of the single copy gene. These observations suggested that Her2 may be overexpressed in human cancer tissue. Slamon and colleagues (Slamon et al. Science 235, 177-182 (1987); Slamon et al. Science 244, 707-712 (1989)) examined Her2 expression levels in tumors taken from a large sample of breast and ovarian cancer patients. It was found that nearly 30% of those patients had amplification and over-expression of the Her2 gene which was associated with

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a poor clinical outcome (increased relapse and low survival rate) particularly in node-positive breast cancer patients. The correlations reported by Slamon have been confirmed in a number of studies (see, for example, Ro et al. Cancer Res. 49, 6941-6944 (1989); Walker et al. Brit. J. Cancer 60, 426-429 (1989); Wright et al. Cancer Res. 49, 2087-2090 (1989); Berchuck et al. Cancer Res. 50, 4087-4091 (1990); Kallioniemi et al. Int. J. Cancer 49, 650-655 (1991); Rilke et al. Int. J. Cancer 49, 44-49 (1991)).

The presence of certain factors, such as Her2 overexpression, that are indicative of a poor prognosis may suggest that adjuvant therapy after surgical removal of the tumor is appropriate. Adjuvant therapy can include high dose chemotherapy and autologous bone marrow transplantation. It has recently been reported (Muss et al. N. Engl. J. Med. 330, 1260-1266 (1994)) that breast cancer patients having tumors displaying Her2 overexpression enjoyed significant benefits from adjuvant therapy.

By analogy with other receptor protein tyrosine kinases, it is assumed that a ligand for Her2 stimulates receptor phosphorylation. A number of polypeptide factors have been reported to increase tyrosine phosphorylation of Her2 and were presumed to be a ligand (Wen et al. Cell 64, 559-572 (1992); Holmes et al. Science 256, 1205-1210; Marchionni et al. Nature 362, 312-318 (1993); Falls et al. Cell 72, 801-815 (1993)). However, there is no evidence that any of these factors are true ligands which bind directly to Her2 and stimulate receptor phosphorylation. One approach to circumvent the absence of ligand is to generate a ligand-like monoclonal antibody (mAb). Several groups have generated anti-Her2 mAbs using either a cell-surface Her2 receptor or a purified extracellular domain of Her2 receptor (Yarden, Proc. Natl. Acad. Sci. USA 87, 2569-2573 (1990); Hanwerth et al. Br. J. Cancer 68, 1140-1145 (1993); Srinivas et al. Cancer Immunol.

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Immunother. 36, 397-402 (1993); Stancovaski et al. Proc. Natl. Acad. Sci. USA 88, 8691-8695 (1991)). These mAbs stimulated tyrosine phosphorylation of Her2 from overexpressing cells, but were not fully characterized in terms of binding to and phosphorylation of each of Her2, Her3 or Her4 or in terms of the kinase activation in Her2 transfected cells.

Growth inhibitory effects of anti-Her2 mAbs on breast cancer cells have been reported previously (Tagliabue et al. Int. J. Cancer 47, 933-937 (1991); Hudziak et al. Mol. Cell. Biol. 9, 1165-1172 (1989); Drevin et al. Oncogene 2, 387-394 (1988); Fendly et al. Cancer Res. 50, 1550-1558 (1990); Hanwerth et al., supra; see also review by Vitetta and Uhr, Cancer Res. 54, 5301-5309 (1994)), but these effects were interpreted to be cytostatic since removal of antibody allowed resumption of cell growth. Xu et al. (Int. J. Cancer 53, 401-408 (1993)) reported anti-Her2 antibodies which were cytotoxic for anchorage-independent tumor cell growth.

An anti-EGF receptor mAb was reported to induce apoptosis on the human colorectal carcinoma cell line, DiFi, which overexpresses EGF receptor, and to induce morphological changes at concentrations of 5 to 20 nM. These effects were interpreted in terms of both blockage of EGF binding to the cognate receptor by the competing mAb and lack of the mAb mitogenic activity (Wu et al. J. Clin. Invest. 95, 1897-1905 (1995)).

Apoptosis, or programmed cell death, is a form of cell death characterized by cell shrinkage and DNA fragmentation. Collapse of the cell nucleus is apparent as chromatin is fragmented into single or multiple mononucleosomal units, a process mediated by an endogenous endonuclease. Apoptosis is distinct from necrotic cell death which results in cell swelling and release of intracellular components (Kerr et al. Br. J. Cancer 26, 239-257 (1972); Wyllie et al. Int. Rev. Cytol. 68, 251-306

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(1980); Wyllie *Nature* **284**, 555-556 (1980)). Apoptotic cells, without releasing such components, are phagocytosed and hence degraded (Savill et al. *Nature* **343**, 170-173 (1990)). Therefore, apoptosis results in an efficient 5 process for elimination of nonviable cells by the host's own defense mechanisms.

It is an object of the invention to generate antibodies to Her2 which induce apoptosis in Her2 expressing cells and thereby "tag" such cells for removal 10 from the host. The antibodies are useful for inducing apoptosis in tumors. This represents a substantial improvement over currently available antibody therapy for cancer which typically involves killing tumor cells by antibody in conjunction with a cytotoxic agent. Cytotoxic 15 agents generally produce undesirable side effects which, if severe, can lead to a reduction or interruption of treatment. The present approach allows for killing of tumor cells by the host immune system, thereby avoiding the effects of cytotoxic agents and tumor cell necrosis induced 20 by such agents.

#### Summary of the Invention

Antibodies which induce apoptosis in cells expressing Her2 are provided by the invention. It has 25 been found that an antibody which stimulates phosphorylation of Her2 receptors in cell lines also has the unexpected effect of inducing changes in Her2 expressing cells characteristic of apoptosis. These changes include DNA fragmentation and loss of viability 30 and are observed in the treated cell population within 24 hours. Such an antibody is useful for tagging Her2 overexpressing cells for elimination by host defense mechanisms.

The antibodies of the invention may recognize 35 an epitope on Her2 which is recognized by the mAb74 antibody. The epitope was distinct from epitopes

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recognized by other antibodies which also bound to Her2 but did not induce apoptosis, suggesting that the region of Her2 which interacts with antibody is important in eliciting an apoptotic response. Antibodies that induce 5 apoptosis may exist as full-length antibodies having intact variable and constant regions or fragments thereof which retain Her2 binding and apoptosis. The antibodies may be produced by hybridoma cell lines or by recombinant DNA methods.

10 Methods for treating cancers characterized by Her2 overexpression are encompassed by the invention. A number of cancers, including breast, ovarian, prostate and colorectal cancers, are predicted to be more invasive and thus more lethal when they exhibit 15 overexpression of Her2. The correlation between Her2 expression and poor prognosis (increased relapse and higher mortality) in certain cancers has made Her2 an attractive target for cancer therapeutics. The present invention provides a method for targeting the 20 elimination of cancer cells overexpressing Her2 by inducing apoptosis in said cells.

Pharmaceutical compositions comprising the antibodies of the invention in a pharmaceutically acceptable adjuvant are also provided.

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Description of the Figures

Figure 1. Binding of mAb74 to glycosylated and 30 deglycosylated sHer2 by Western blot analysis. (a) Extent of Her2 deglycosylation by CHO staining after nonreducing SDS-PAGE; (b) Binding of mAb74 to glycosylated and deglycosylated Her2 as analyzed by Western blotting after nonreducing SDS-PAGE.

35 Figure 2. Her2 and Her3 tyrosine phosphorylation induced by mAb stimulation in SKBR3. SKBR3 cells were seeded in a

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48-well plate for 5 min at 37°C for 18 hours before mAb stimulation. Cells were solubilized with SDS sample buffer. Solubilized samples were electrophoresed on 6% polyacrylamide gels, followed by Western blotting and 5 probing with anti-phosphotyrosine antibody. (a) All mAb concentrations were 250 nM in DMEM. 2 nM neu differentiation factor - $\alpha$  (NDF $\alpha$ ) was used as a positive control. (b) mAb dose dependence of tyrosine phosphorylation.

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Figure 3. Inhibition by soluble Her2 receptor of receptor tyrosine phosphorylation induced by mAb. Phosphorylation assay is similar to that described in Figure 2. Cells were incubated with 250 nM mAb with different concentrations of 15 sHer2.

Figure 4. Receptor tyrosine phosphorylation of transfected cell lines, Her2/32D and HEG/32D, induced by mAb stimulation. For phosphorylation assay, cells were 20 pelleted by centrifugation, washed with PBS, and then incubated with 100  $\mu$ l of 250 nM mAbs in RPMI for 5 min at 37°C, followed by quenching with the addition of 1 ml ice cold PBS and centrifugation at 4°C. Supernatant was removed and SDS sample buffer added to the centrifuged 25 pellet. The sample was subjected to 6% SDS-PAGE followed by Western blotting and probing with anti-PTY. A431 basal phosphorylated sample was used as a positive control.

Figure 5. Cell morphologic change induced by mAbs. Cells 30 (a-d, Her2/MCF7; e,f, MDAMB453) were grown in 1% FBS in culture media with or without mAb. After 5 days, cells were observed and photographed. (a,e) control (without mAb). (b) 250 nM mAb74. (c) 250 nM mAb83. (d) 250 nM mAb42b. (f) 100 nM mAb74.

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Figure 6. Detection of apoptotic cells with a modified TUNEL method. MDAMB453 (a-d) cells or Her2/MCF7 (e,f) cells were incubated with or without mAbs in 1% FBS culture media for one day followed by an apoptosis assay. (a,e) control (without mAb). (b) 50 nM mAb74. (c,f) 500 nM mAb74. (d) 500 nM mAb42b.

#### Detailed Description of the Invention

Monoclonal antibodies (mAbs) which bind to Her2 have been generated by immunizing mice with purified soluble Her2. Soluble Her2 was expressed and purified as described in Example 1. Mabs which bound to soluble Her2 in enzyme-linked immunosorbent assays (EIA) were subjected to dilution cloning and rescreening by EIA and BIACore for binding to Her2 (Example 2). Ten clones were selected for further analysis. Purified antibodies from these clones were found to preferentially bind soluble Her2 and showed little or no binding to soluble Her3 and Her4. The biological effects of selected antibodies were studied for receptor dimerization, receptor phosphorylation and changes in cell physiology. All the antibodies tested formed 2:1 (receptor:antibody) complexes with Her2 (Example 4). Three different antibodies stimulated phosphorylation of Her2 and Her3 receptors on SKBR3 cells and Her2, Her3 and Her4 receptors on MDAMB453 cells. Phosphorylation of all receptors was inhibited by soluble Her2, suggesting that the ligand-like effects of the mabs are mediated directly through Her2.

One antibody, mAb74, induced dramatic changes in the physiology of cells expressing Her2 (Examples 5 and 6). Treatment of MCF7 cells transfected with a full-length Her2 gene or treatment of MDAMB453 cells which naturally express Her2 with mAb74 resulted in a marked change in cell morphology and extensive cell death. One other antibody, mAb83, showed a moderate

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effect on cell morphology. In those cells which were nonviable, apoptosis had been induced as evidenced by extensive DNA fragmentation. However, a subpopulation of cells escaped the activity of mAb74 and were not 5 apoptotic.

The invention provides for an antibody or fragment thereof which induces apoptosis in Her2 expressing cells. As used herein, the term "apoptosis" denotes programmed cell death characterized by nuclear 10 collapse and DNA degradation. Cells undergoing apoptosis in response to the antibodies of the invention will have at least Her2 on the cell surface and optionally Her3 and Her4. It is preferred that the 15 cells or tissues being targeted exhibit levels of expression of Her2 that are greater than a normal basal level. Her2 overexpression may be at least 10% higher than a normal basal level, or more preferably 20% higher, or more preferably 30% higher. As used herein, the term "Her2 overexpression" refers to any level of 20 Her2 expression which is greater than the normal basal level. As indicated in the Background section, various cancers are characterized by Her2 overexpression. A basal level of Her2 expression is typically that measured in noncancerous tissues and cells which express 25 Her2.

Antibodies of the invention bind to an epitope of Her2 such that binding results in Her2 dimerization, Her2 phosphorylation and cell apoptosis. As used herein, the term "epitope" refers to a region of Her2 bound by 30 an antibody which is protected from binding by a second antibody. In a preferred embodiment, the epitope is defined by the binding of mAb74 to Her2. This epitope is distinct from epitopes recognized by other anti-Her2 antibodies (see Table 1). It is noteworthy that other 35 anti-Her2 antibodies induce Her2 dimerization and phosphorylation, but not apoptosis, and recognize

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epitopes on Her2 that are distinct from that recognized by mAb74.

Antibodies of the invention may be polyclonal or monoclonal or fragments thereof. Murine polyclonal and monoclonal antibodies are produced by standard immunological techniques. Antibody fragments encompass those antibodies which interact specifically with Her2 and induce apoptosis in cells and tissues expressing Her2. As indicated below in the examples, there is a correlation between apoptotic activity of mAb74 and Her2 receptor phosphorylation and dimerization. Therefore, it is preferred that the antibody fragments of the invention retain their bivalent structure which is likely to promote receptor dimerization and activation.

Also encompassed are antibodies made by recombinant means such as chimeric antibodies (variable region and constant region derived from different species) and CDR-grafted antibodies (complementary determining region derived from a different species) as described in U.S. Patent Nos. 4,816,567 and 5,225,539. Preferably, the antibodies are at least partly of human origin. These include humanized antibodies, typically produced by recombinant methods, wherein the human sequences comprise part or all of the antibody. Also included are fully human antibodies produced in genetically-altered mice (see PCT Application No. 93/12227).

Antibodies of the invention may also have a detectable label attached thereto. The label may be a fluorescent, enzymatic, affinity or isotopic label. Examples include fluorescein isothiocyanate (FITC) for detection by fluorescence, horseradish peroxidase which allows detection by cleavage of a chromogenic substrate, radioisotopes such as I<sup>125</sup> for detection by autoradiography and avidin/biotin for antibody detection and affinity purification of antigens and antigen-bearing cells.

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Also encompassed by the invention are hybridoma cell lines producing a monoclonal antibody wherein the antibody induces apoptosis in Her2 expressing cells and tissues. In one embodiment, the 5 hybridoma produces a monoclonal antibody which recognizes an epitope on Her2 such that an antibody-Her2 complex results in induction of apoptosis. Preferably, the hybridoma produces an antibody which recognizes the epitope on Her2 which is recognized by mAb74. The 10 hybridoma cell line which produces mAb74 has been deposited with the American Type Culture Collection, Rockville, MD on \_\_\_\_\_ under accession no. \_\_\_\_\_.

Various cancers are characterized by elevated 15 levels of Her2 expression, including breast, ovarian, prostate, gastric and colorectal cancers (Press et al. in Effects of Therapy on Biology and Kinetics of the Residual Tumor, Part A: Preclinical Aspects pp. 209-221 (1990); Fukushige et al. Mol. Cell. Biol. 6, 955-958 20 (1986); Bargmann et al. in The Oncogene Handbook pp. 107-119 (1988)). A correlation between poor prognosis and Her2 overexpression in cancerous tissue has been reported. Patients with poor prognosis typically have a greater rate of relapse and a higher incidence of 25 mortality. Often, such patients may benefit from an aggressive treatment regimen that includes high dose chemotherapy. Such therapy is expensive and may present risks to the patient. It has been proposed to use anti-Her2 antibodies in a cancer treatment regimen to inhibit 30 tumor growth wherein the antibodies are used in conjunction with cytotoxic agents. One approach involves combinations of anti-Her2 antibodies and chemotherapeutic agents (such as cisplatin, 5-fluorouracil and others) to enhance the cytotoxic 35 effect of chemotherapy drugs (this effect is referred to as antibody-dependent cellular cytotoxicity, or ADCC).

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A second approach uses immunotoxins or conjugates of antibodies with cytotoxic agents such as various A chain toxins, ribosomes inactivating proteins, and ribonucleases. Another approach involves the use of 5 bispecific antibodies designed to induce cellular mechanisms for killing tumors (see, for example, U.S. Patent Nos. 4,676,980 and 4,954,617).

The antibodies of the present invention are themselves toxic to Her2 expressing cells by inducing 10 apoptosis. They may be used advantageously in the treatment of cancer characterized by Her2 overexpression, such as breast, ovarian, gastric, prostate and colorectal cancers. The use of the 15 antibodies has significant advantages over previous approaches in that administration of cytotoxic agents which are deleterious to all growing cells can be avoided. It is anticipated that use of the antibodies alone to treat cancer will greatly reduce undesirable side effects associated with the administration of high 20 dose cytotoxic agents or combinations of chemotherapy/antibody combination therapy.

Alternatively, if a cytotoxic agent is used, use of the present antibodies in conjunction with cytotoxic agents is expected to be advantageous in that less cytotoxic 25 agent may be used in order to achieve the same therapeutic effect. An antibody such as mAb74 may be administered alone or in combination with other anti-Her2 antibodies which induce apoptosis.

It is expected that the route of 30 administration for the antibodies of the invention will be parenteral. Administration may be subcutaneous, intravenous or intramuscular injection and may be a single bolus injection or by continuous infusion. The amount of antibody to be used will vary depending upon 35 the nature and severity of the condition but in general

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will range from about 0.1 µg/kg body weight to about 100 mg/kg body weight.

The invention provides for a pharmaceutical composition comprising a therapeutically effective amount of an anti-Her2 antibody which induces apoptosis with a pharmaceutically acceptable adjuvant. The adjuvant is selected from one or more of a diluent, carrier, preservative, emulsifier, anti-oxidant and/or stabilizer. Pharmaceutically acceptable adjuvants are known to one skilled in the art and are surveyed extensively in Remington's Pharmaceutical Sciences 18th ed. A.R. Gennaro, ed. Mack, Easton, PA (1990). The pharmaceutical compositions are sterile, non-pyrogenic and suitable for injection. As used herein, a "therapeutically effective amount" refers to that amount of antibody which provides a therapeutic effect for a given condition and administration regimen. In the present invention, a therapeutic effect is induction of apoptosis in tumors characterized by Her2 overexpression. The antibodies are preferably those which will not elicit an immune response when administered to a patient in need of treatment. In one embodiment, the antibodies are human or humanized antibodies which may be prepared using procedures known to one skilled in the art.

The following examples are offered to more fully illustrate the invention, but are not construed as limiting the scope thereof.

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EXAMPLE 1

Production of Her2, Her3 and Her4 Extracellular Domains

5   Cloning and Expression of Her2 Extracellular Doman (Soluble Her2)

A soluble Her2 receptor construct was made as follows. A cDNA clone of full-length Her2 in plasmid pLJ (pLJ is described in Korman et al. Proc. Natl. Acad. 10 Sci. USA 84, 2150-2054 (1987) was digested with AatII which cuts once at position 2107 of the Her2 DNA sequence (numbering as in Coussens et al., supra). The linearized plasmid was cut with HindIII, which cuts 5' of the initiating ATG, to release an approximately 2200 15 bp fragment. This fragment was cloned into pDSR $\alpha$ 2 5'-HindIII to 3'SalI using an oligonucleotide linker (AatII-SalI) which contained an in-frame FLAG sequence and a translation termination codon. The resulting cDNA encodes for the Her2 extracellular ligand binding domain spanning amino acid residues 1-653 fused to the FLAG 20 sequence (underlined):

Thr Ser Asp Tyr Lys Asp Asp Asp Lys STOP

25   This construct was transfected into CHOd- cells. Single cell clones were derived from the selected population and assayed for soluble Her2 production by both anti-FLAG and anti-Her2 Western blot analysis.

30   Cloning and Expression of Her3 Extracellular Domain (Soluble Her3)

A cDNA clone containing the full-length Her3 sequence was isolated by screening a cDNA library prepared from the SKBR3 (American Type Tissue 35 Collection, Bethesda, MD, ATCC HTB 30). The library was divided into 49 pools each containing 3200 individual

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clones. Plasmid DNA from each pool was transferred to nitrocellulose filter (Schleicher & Schuell, Keene, NH). Two oligonucleotide probes corresponding to the 3'-end of the Her-3 sequences

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5' CCACCCGGGTTAGAGGAAGA 3' and  
5'-AGTTACGTTCTCTGGGCATTA-3'

were synthesized and used to screen the SKBR3 cDNA  
10 library filters. The hybridization was done in 6 X SSC,  
50mM sodium-phosphate (pH 6.8), 0.1% sodium-  
pyrophosphate, 0.2% SDS, 2mM EDTA, 2 X Denhardt's  
solution and 50 mg/ml salmon sperm DNA at 42° C for 16  
hours. The filters were then washed at 42° C with 2 X  
15 SSC, 0.2% SDS, 2mM EDTA for 30 minutes and exposed to X-  
ray films at -80° C for 2 days.

Ten pools that gave positive signals in  
hybridization were further characterized by polymerase  
chain reaction (PCR) analysis to determine if they also  
20 encode the Her3 5' sequence. Plasmid DNA from each pool  
was amplified with oligonucleotide primers corresponding  
to the 5'-end of the Her-3 sequences:

25 5' CATGAGGGCGAACGACGCTCTG 3' and  
5' CTTGGTCAATGTCTGGCAGTC 3'

PCR was carried out for 40 cycles; with each cycle at  
94° C, 30 seconds; 50° C, 30 seconds; and 72° C, 30  
seconds. Three of the ten pools contained a full length  
30 Her3 cDNA. The three pools were rescreened by the  
colony hybridization procedure of Lin et al (Gene 44,  
201-209. (1986)) until single clones were obtained from  
each pool. cDNA sequencing revealed a sequence  
identical to that published (Kraus et al., supra).

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Plasmid pJT2-Her3 was used for PCR amplification of the soluble Her3 domain using the following primers:

5 Sense 5' CGCTCTAGACCACCATGAGGGCGAACGACGCTCTGCA 3'  
Antisense 5' CGCGGATCCGTCGACTCACTATGTCAGATGGGTTTGCCGAT  
3'

After digestion with the restriction enzymes XbaI and 10 SalI, the 1.9 kb PCR fragment was subcloned into pDSR $\alpha$ 2 (PCT Application No. WO91/05795) which had been cleaved with XbaI and SalI. The Her3 sequences in the resulting plasmid were confirmed by DNA sequencing. Plasmid pDSR $\alpha$ 2/Her3 was used to transfect CHO $d^+$  cells for 15 expression of soluble Her3.

Cloning and Expression of Her4 Extracellular Domain (Soluble Her4)

A full-length Her4 cDNA clone was obtained by 20 screening a human fetal brain cDNA library (Stratagene, San Diego, CA). Two Her4 cDNA probes were prepared by PCR amplification of human brain cDNA (Clontech Laboratories, Inc., Palo Alto, CA). cDNA probe-1 corresponds to the Her4 5'-end sequences encoding amino acid residues 32 to 177 and cDNA probe-2 corresponds to the Her4 3'-end sequences encoding amino acid residues 1137 to 1254. (Plowman et al., supra) Approximately 4 X 10<sup>6</sup> pfu of the human fetal brain cDNA library were screened sequentially with the Her4 5'-end probe and the 25 Her4 3'-end probe. The hybridization solution contained 6 X SSC, 50mM sodium-phosphate (pH 6.8), 0.2% SDS, 2mM EDTA, 0.1% sodium-pyrophosphate, 2 X Denhardt's solution, 50 mg/ml salmon sperm DNA and 50% formamide. Hybridization was at 42° C for 16 hours. The filters 30 were washed at 67° C with 2 X SSC, 0.2% SDS, 2mM EDTA for 60 minutes and then exposed to x-ray films at -80° C

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over night. Autoradiography of the filters showed that 12 clones hybridized to the 5'-end probe and another 5 clones hybridized to the 3'-end probe. Single clones were purified by re-plating, screened by probe 5 hybridizations as described above and positive clones sequenced.

All positive cDNA clones which were sequenced were found to be partial Her4 cDNA clones. The sequences were found to be identical to the published 10 Her4 sequence (Plowman et al. supra) except for a short deletion/replacement in the extracellular domain. Amino acids 626 to 648 of the published Her3 sequence (NGPTSHDCIYYPWTGHSTLPQHA) were replaced by the peptide sequence IGSSIEDCIGLMD. Also, G at amino acid position 15 573 of Plowman's sequence was replaced by D.

As none of the 17 clones contained full length cDNA of Her4, two overlapping clones were fused together to generate a full length Her4 receptor using techniques described in Maniatis et al. (Molecular Cloning: A Laboratory Manual Cold Spring Harbor, New York: Cold Spring Harbor Laboratory, (1982)). One clone encoded Her4 amino acid residues from 1 to 738 and another encoded amino acid residues from 588 to 1298. These two overlapping clones were released from plasmid 25 pBluescriptSK-by restriction enzyme digestions and assembled in plasmid pGEM4 to generate a full length Her4 cDNA.

Soluble Her4 receptor was constructed by PCR amplification of a 700 bp Her4 DNA fragment encoding 30 amino acids 409 to 639 from Her4 full length cDNA. The sequences of the two primers used in this amplification were

5' CCAAACATGACTGACTTCAGTG 3' and

5' GGCCAATTGCAGGCCGCTTACTAATCCATCAGGCCGATGCAGTCTTC 3'

35 PCR was carried out for 25 cycles; with each cycle at 94° C, 30 seconds; 55° C, 30 seconds; and 72° C, 30

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seconds. This 700 bp PCR product was purified by agarose gel electrophoresis. Plasmid pGEM4/Her4 was digested with Not I and BstE II to produce two fragments: one containing plasmid pGEM4 and the Her4 5'-  
5 end cDNA encoding the extracellular domain of the receptor from amino acid 1 to 420; and a second fragment spanning amino acid 421 of Her4 to the end of the Her4 molecule. These two DNA fragments were separated in agarose gel and the pGEM4/HER4 5'-end fragment was  
10 recovered. The 700bp Her4 PCR fragment was digested with BstE II and Not I and was ligated with the pGEM4/HER4 5'-end fragment. The resulting cDNA encodes the Her4 receptor extracellular domain spanning amino acid residues from 1 to 639. The PCR amplified portion  
15 was sequenced to confirm that no PCR errors has occurred.

The soluble Her4 cDNA construct was released from plasmid pGEM4, inserted into plasmid pDSRa2 and transfected into CHOd<sup>-</sup> cells using standard techniques  
20 (Maniatis et al., supra). Single cell clones were derived from the selected population and assayed for soluble Her4 production by BIACore analysis.

Purification of sHer2, sHer3 and sHer4 receptors.

25 Conditioned media of CHO cells expressing soluble Her2 (sHer2) was concentrated 12.5-fold with a Pellicon tangential flow ultrafiltration device (Amicon) fitted with a 50 K MWCO filter cassette (Filtron Technology), and the concentrate was diafiltered with three  
30 volumes of 20 mM potassium phosphate, 100 mM NaCl, pH 6.8. The diafiltered concentrate was mixed with hydroxylapatite (Calbiochem) equilibrated in diafiltration buffer. The unbound fraction was diluted with an equal volume of water and then applied to a Q-Sepharose fast flow column  
35 (Pharmacia) equilibrated in 10 mM potassium phosphate, 50 mM NaCl, pH 7.0. The column was eluted with a linear

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gradient from 50-600 mM NaCl. A pool was made from fractions containing >95% sHer2. sHer3 and sHer4 were also purified from conditioned media of CHO cells expressing these proteins in a similar fashion to the procedure 5 described above. Due to its higher pI value, sHer3 was bound to and eluted from a Q-Sepharose column equilibrated in 10 mM potassium phosphate, 50 mM NaCl, pH 7.5.

#### EXAMPLE 2

##### 10 Production of Anti-HER2 Antibodies

Procedures for immunizing animals, preparing fusions and screening hybridomas and purified antibodies were carried out generally as described in Harlow and Lane, 15 Antibodies: A Laboratory Manual. Cold Spring Harbor Laboratory (1988).

##### Enzyme-linked Immunosorbent Assay (EIA).

96-well plates were coated with 2 $\mu$ g/ml sHer2, 2 $\mu$ g/ml sHer3 20 or 2 $\mu$ g/ml sHer4 in a carbonate-bicarbonate buffer. After blocking, hybridoma conditioned medium was added to the plate and incubated for 2 hours. The medium was aspirated and the plates were washed before addition of rabbit-anti-mouse IgG antibody conjugated with horseradish 25 peroxidase (Boehringer Mannheim). After a one hour incubation, the plates were aspirated and washed five times. Bound antibody was detected with ABTS color reagent (Kirkegaard and Perry Labs., Inc.). The extent of antibody binding was determined by monitoring the increase in 30 absorbance at 405 nm.

Cloning and IgG subtype determination. Single cell cloning was done in a 96-well plate using a limiting dilution method. Conditioned media of single cell clones 35 were screened for antibody production using the EIA described above. The strongest antibody producing clones

- 19 -

were chosen for cell growth expansion, subsequent subtype determination and competition studies.

BIAcore analysis. Purified sHer2, sHer3 or 5 sHer4 were covalently coupled to a sensor chip CM5 via the primary amine group using 40 µl of the receptor in 10 mM Na acetate, pH 4.0 (10 µg receptor per ml). The unreacted groups on the sensor chip were blocked with an injection of 50 µl of 1 M ethanolamine hydrochloride (Pharmacia 10 Biosensor AB). Each analysis cycle consisted of an injection of 40 µl of hybridoma supernatant (or purified mAbs), followed by injection of 10 µl of 10 mM HCl to regenerate the chip. Binding of the mAbs was detected by a change in SPR, measured in resonance units (RU). For most 15 proteins, 1000 RU corresponds to a surface concentration of approximately 1 ng/mm<sup>2</sup>.

Preparation and Screening of Hybridoma Cell Lines. 7 balb/C mice were injected subcutaneously three 20 times at three week intervals with 10 µg of soluble Her2. The protein was emulsified with RIBI adjuvant. Serum titers to Her2 were evaluated at 8 weeks, and the two mice with the highest titers were selected and given a final IV injection of 10 µg of soluble Her2. Three days later, the 25 two mice were euthanized, and spleens removed, disrupted in a Stomacher tissue disintegrator, and filtered, and single cells were recovered. After three washes, the spleen cells were counted, mixed with mouse myeloma cells (SP2/0) in a ratio of 3:1 (spleen:SP2/0) and fused in the presence of 30 50%PEG (MW 1500). The fused cells were plated in a total of 10 96-well plates at a spleen cell concentration of  $1.25 \times 10^5$  per well in a medium consisting of DMEM:RPMI (1:1), 10% FBS and 10% ORIGEN. Selection of fused cells was carried out in HAT selection medium. Culture media 35 were screened by EIA for antibodies to Her2 after viable cell colonies occupied approximately 30% of the well.

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Sixty eight positives were identified from 960 wells. Cells from 43 wells were cloned by limiting dilution to produce single-cell colonies. Wells containing single colonies were marked and, when grown to 30% of well area, 5 were assayed for anti-Her2 antibodies by EIA and BIACore. The final number of single cell clones was 26, representing 20 original masterwells.

Based on binding of hybridoma supernatants to sHer2 as assayed by EIA and BIACore, 10 clones were 10 selected for further study.  $5 \times 10^6$  cells from each of the 10 clones were injected into primed balb/C mice, and ascites fluid was collected at approximately 10 days. Immunoglobulins were affinity purified over a protein A MAPS II column (BioRad). The IgG purified antibodies were 15 assayed by EIA for binding to Her2, Her3 and Her4 as described above. The binding capacity was evaluated at 10 ng/ml or 100 $\mu$ g/ml of mAbs. Binding of antibodies to sHer2 was readily apparent at an antibody concentration of 10ng/ml while binding to sHer3 and sHer4 was negligible 20 even at an antibody concentration of 100 $\mu$ g/ml. The data demonstrate that all clones except mab83 bind strongly to sHer2 with no detectable binding to sHer3 and sHer4.

IgG subtypes were determined on hybridoma supernatants using an Isotype Ab-Stat-Kit (Sangstate 25 Medical Corp.) and the results are shown in Table I.

Binding of mAbs to sHer2, sHer3 and sHer4

Binding of mAbs to sHer2 on a BIACore chip was investigated using 10  $\mu$ g/ml mAbs, and evaluated as resonance units (RU). 30 As shown in Table I, two clones (52 and 58) showed greater than 1000 RU, 2 clones (35 and 42B) showed around 700 RU, 2 clones (43A and 74) showed around 300 RU, 2 clones (83 and 97) showed around 100 RU, and 2 clones (29 and 86) were less than 100 RU. The results indicated a wide range of 35 affinity among the ten clones. No detectable binding of anti-sHer2 mAbs to sHer3 and sHer4 was observed. These

- 21 -

results, along with the EIA data, confirm that the mAbs generated against sHer2 bind specifically to sHER2 with little or no binding to sHer3 and sHer4.

Table I. Immunological properties of anti-Her2 mAbs

MONO- CLONAL ANTIBODY ID	IGG SUB- TYPE	EPITOPE GROUPING BY	BINDING TO sHER2 BIA CORE RU OF	BINDING TO sHER3 BIA CORE RU OF	BINDING TO sHER4 BIA CORE RU OF	BINDING EIA PLATE O.D.OF	BINDING EIA PLATE O.D.OF	BINDING O.D.OF	BINDING 100 UG/ML	BINDING 100 NG/ML	BINDING 100 UG/ML
35	1	G1	781	-5	-15	0.97	0.1	0.11			
42B	1	G2	745	-23	-15	2.35	0.1	0.09			
43A	2A	G2	392	-5	-18	2.25	0.24	0.19			
52	2B	G2	1600	-7	-18	2.45	0.25	0.23			
58	1	G2	1266	2	-17	2.63	0.09	0.1			
74	1	G3	372	15	-13	1.19	0.22	0.19			
29	1	G4	76	0	-20	2.28	0.52	0.35			
83	1	G4	115	-4	-16	0.09	0.37	0.21			
86	1	G4	62	-9	-20	2.31	0.63	0.35			
97	1	G4	109	-4	-17	2.36	0.26	0.16			
						0.09	1.2	0.9			
									Mouse IgG		

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Epitope Competition assay. The epitope specificity of anti-sHer2 mAbs was determined by binding pairs of monoclonal antibodies simultaneously to sHer2 immobilized on a BIACore chip. mAbs directed against different epitopes should bind independently of each other, whereas mAbs directed against closely related epitopes should interfere sterically with each other's binding. The first mAb was injected three times in a volume of 40 µl at a concentration of 10 µg/ml onto the immobilized sHer2 surface. A 40 µl of the second mAb was then injected and the ability to simultaneously bind to the sHer2 was evaluated. The biosensor surface was regenerated by the injection of 10 µl of 50 mM HCl. Binding was also analyzed when the injection sequence of each pair of mAbs was reversed. This analysis divided the mAbs into 4 different groups of epitope specificity, as shown in Table I. No correlation between epitope grouping and phosphorylation activity was apparent except for mAb74, which appears to have a unique epitope from the other mAbs.

EXAMPLE 3  
Characterization of mAb74 Epitope on Her2

The effect of glycosylation on mAb74 interaction with sHer2 was determined as follows. Sixty µg of sHer2 in 20 mM BTP, 40 mM NaCl, pH 7.4, was denatured for five minutes in a boiling water bath in the presence of 0.4% SDS. After denaturation, NP-40 (Boehringer Mannheim) was added to 2% v/v, and the reaction diluted with an equal volume of DI H<sub>2</sub>O before adding 3 units of recombinant N-glycanase (Genzyme). The reaction was allowed to proceed with gentle shaking at 37°C for 20 hrs.

An ECL glycoprotein detection system kit (Amersham Life Science) was used to determine the extent of deglycosylation. 0.25 µg each of sHer2 and deglycosylated

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sHer2 were run on a 4-20% gel (Novex) under nonreducing conditions and then blotted to nitrocellulose (Schleicher & Schuell) for 1 hour at 90 volts in a Bio-Rad mini PROTEAN II apparatus (BioRad) with cooling. After blotting, the 5 membrane was treated with 10 mM sodium metaperiodate for 20 minutes, then 300 nM biotin hydrazide for 60 minutes, both in 100 mM sodium acetate, pH 5.5 at room temperature. After each step, the membrane was washed with three changes of PBS. Nonfat dry milk (Carnation) was added to PBS at a 10 concentration of 5% (w/v) and incubated overnight at 4°C to block nonspecific binding. The membrane was incubated at room temperature with streptavidin horseradish peroxidase conjugated with ECL detection reagents for one minute. The blot was exposed to Hyperfilm-ECL (Amersham Life Science). 15 No protein band was observed in the deglycosylated sample (Figure 1A) indicating complete deglycosylation had occurred.

Intact and deglycosylated sHer2 (25ng each) were loaded and run on a 4-20% gel (Novex) under reducing and 20 nonreducing conditions. The Gel was blotted 1 hr at 90 volts, blocked with 5% nonfat dry milk and detected with 0.4 µg/ml mAb74 followed by 1/5000 anti-mouse conjugated horseradish peroxidase after three 10 min washes in PBS 0.1%, Tween 20. An ECL kit (Amersham Life Science) was 25 used for detection. mAb74 was observed to bind to both glycosylated and deglycosylated sHer2 under nonreducing conditions (Figure 1B). No antibody binding was observed under reducing conditions.

30

#### EXAMPLE 4

##### Dimerization of Her2 by Anti-Her2 Antibodies

Typically, antibodies have two binding sites for antigens, so it may be expected that antibodies which bind 35 receptors can promote receptor dimerization. Size exclusion chromatography (SEC) with light scattering

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detection was used to determine the stoichiometry of anti-Her2 antibody binding to sHer2. The use of SEC with on-line light scattering has advantages over SEC alone for determining the molecular weight or stoichiometry of a protein complex. While the elution position of a protein or complex is indicative of molecular weight using conventional SEC, a light scattering measurement is independent of the elution position of a protein or a complex. In addition, the molecular weight from light scattering reflects only the polypeptide if the extinction coefficient of the polypeptide alone is used in the analysis. The on-line light scattering/size exclusion chromatography system uses three detectors in series: a light scattering detector (Wyatt Minidawn), a refractive index detector (Polymer Laboratories PL-RI), and a UV absorbance monitor at 280 nm (Knauer A293). A Superdex 200 (Pharmacia) SEC column equilibrated with Dulbecco's phosphate-buffered saline (PBS) and a 100 µl sample loop were used. The system was operated at a flow rate of 0.5 ml/min. The complexes of anti-sHer2 mAb and sHer2 were made by mixing 55 µl of 1.5 mg/ml mAb35, 0.8 mg/ml mAb52, 1.2 mg/ml mAb58, 1.6 mg/ml mAb42, 0.84 mg/ml mAb74, and 0.89 mg/ml mAb83 with 55 µl of 2.0, 2.0, 1.3, 2.0, 2.0, and 2.0 mg/ml sHer2, respectively. The complexes of the above mAbs and sHer3 were made in a similar way. 100 µl samples of each complex were injected onto a Superdex 200 column and the elution was monitored by light scattering, refractive index and UV absorbance detectors.

For a glycoprotein complex, the molecular weight of its polypeptide is proportional to  $(uv)(LS)/[ep(RI)^2]$  (Takagi J. Chromatogr. 506, 409-446 (1990); Arakawa et al. Arch. Biochem. Biophys. 308, 267-273 (1994); Philo et al. J. Biol. Chem. 269, 27840-27846 (1994) where uv, LS, and RI are the signals from the absorbance, light scattering, and refractive index detectors, respectively, and ep is the extinction coefficient (the absorbance of a 1 mg/ml

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solution for 1 cm pathlength) of the polypeptide. For a complex with a known stoichiometry ( $A_mB_n$ ), its extinction coefficient can be calculated with the equation  $\epsilon_p = (m\epsilon_A \times M_A + n\epsilon_B \times M_B) / (mM_A + nM_B)$  where  $\epsilon_A$ ,  $\epsilon_B$ ,  $M_A$  and  $M_B$  are  
5 the polypeptide extinction coefficient and molecular weight of either protein A or B.

In order to obtain the molecular weight and stoichiometry of a glycoprotein complex, one must calculate  
10 its extinction coefficient. However, the extinction coefficient of a complex cannot be calculated unless stoichiometry is known. A self-consistent method is used to solve this problem, assuming various possibilities for the stoichiometry of the complex. For each assumed  
15 stoichiometry, an extinction coefficient and corresponding experimental molecular weight is calculated. Finally, the stoichiometry with the best consistency between the experimental and theoretical molecular weight is selected as the correct stoichiometry for the complex. The results  
20 of this method are shown in Table II.

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Table II.  
Binding of mAb to sHer2 determined by SEC/light scattering

Proteins or Complexes	$\epsilon$ L	Experimental MW $\times 10^{-3}$	Theoretical MW $\times 10^{-3}$	Correct Assumption?
<i>g·cm</i>				
sHer2	0.85	69		
mAb35	1.4	139		
mAb52	1.4	151		
mAb58	1.4	142		
mAb42b	1.4	136		
mAb74	1.4	145		
mAb83	1.4	141		
<b>Assumption of sHer2-mAb35 Complex Stoichiometry:</b>				
1sHer2:1mAb35	1.24	237	208	No
2 : 1	1.14	261	277	Yes
3 : 1	1.08	275	346	No
1 : 2	1.31	226	347	No
1 : 3	1.41	208	486	No
<b>Assumption of sHer2-mAb52 Complex Stoichiometry:</b>				
1sHer2:1mAb52	1.24	252	220	No
2 : 1	1.14	275	289	Yes
3 : 1	1.08	289	358	No
1 : 2	1.31	240	371	No
1 : 3	1.41	223	522	No
<b>Assumption of sHer2-mAb58 Complex Stoichiometry</b>				
1sHer2:1mAb58	1.24	252	211	No
2 : 1	1.14	272	280	Yes
3 : 1	1.08	289	348	No
1 : 2	1.31	237	353	No
1 : 3	1.41	220	522	No
<b>Assumption of sHer2-mAb42b Complex Stoichiometry</b>				
1sHer2:1mAb42b	1.24	246	205	No
2 : 1	1.14	266	274	Yes
3 : 1	1.08	281	343	No
1 : 2	1.31	232	341	No
1 : 3	1.41	214	477	No
<b>Assumption of sHer2-mAb74 Complex Stoichiometry</b>				
1sHer2:1mAb74	1.24	258	214	No
2 : 1	1.14	281	283	Yes
3 : 1	1.08	298	352	No
1 : 2	1.31	245	359	No
1 : 3	1.41	228	504	No

\*The molecular weights (MW) in the table reflect  
5 polypeptide only.

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The experimental molecular weights (excluding carbohydrate) for the complexes are most consistent with the theoretical values assuming 2 sHer2 per 1 mAb for each of the 5 mAbs tested. This proves that these antibodies could dimerize 5 Her2 expressed on the cell surface. However, since the sHer2 and mAbs were mixed at 2:1, the observed results do not exclude the possibility of 1 sHer2:1 mAb complex formation when the mAb is present in excess. No complex was observed for sHer2 and mAb83 mixture. This may be 10 caused by weak binding and complex dissociation during the chromatographic procedure. The samples containing sHer2 mAb at a 2:1 molar ratio eluted as a single peak, suggesting formation of 2 sHer2:1 mAb complex without dissociation during elution.

15 In order to verify that these antibodies do not dimerize Her3, similar experiments were done using mixtures of mAbs and sHer3. No complexes between sHer3 and any of the mAbs were detected.

20

#### EXAMPLE 5

##### Receptor Phosphorylation by Anti-Her2 Antibodies

Adherent cells (SKBR3 or MDAMB453) were grown in 48 well plates and washed with DMEM 2-3 times. Suspension 25 cells (32D, Her2/32D, HEG/32D) were pelleted by centrifugation and washed with PBS. HEG/32D is a cell line transfected with a chimeric Her2/EGF receptor (HEG) having an extracellular domain from Her2 spanning amino acid residues 1-653 and intracellular and transmembrane domains 30 from EGF receptor spanning amino acid residues 646-1210. mAb solution or control ligand solution was added to the well or to the pelleted tube and incubated for 5 min at 37°C. The solution was removed and the cells were 35 solubilized with SDS sample buffer. The samples were subjected to SDS-PAGE followed by Western blotting and probing with anti-phosphotyrosine.

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Twelve clones of anti-sHer2 mAbs were tested for stimulation of receptor tyrosine phosphorylation in SKBR3 cells. As shown in Figure 2-a, mAb74, 52, and 83 strongly stimulated the tyrosine phosphorylation of 180-185 kDa proteins in SKBR3 cells in which both Her2 and Her3 were identified. The phosphorylation was dose dependent (Figure 2-b). As shown in Figure 3, the phosphorylation of SKBR3 cells by mAb 74, 52 and 83 was inhibited with sHer2. To determine which receptor is phosphorylated, Her2 and Her3 were immunoprecipitated from SKBR3, and Her2, Her3 and Her4 were immunoprecipitated from MDAMB453 after mAb incubation and analyzed by Western blots probed with anti-phosphotyrosine. Her2 and Her3 in SKBR3 or Her2, Her3 and Her4 in MDAMB453 were all tyrosine phosphorylated.

A similar assay has been done with transfected cell lines, Her2/CHO and Her2/32D, to study the direct interaction of mAb and Her2. mAbs 52, 74 and 83 failed to stimulate phosphorylation of Her2 in Her2/CHO and Her2/32D transfected cells (Figure 4 shows data for Her2/32D cells only). By contrast, the Her2/EGF chimeric receptor was phosphorylated in HEG/32D (Figure 4). A subsequent experiment was performed using a Her2/32D transfectant which expressed Her2 at levels comparable to those of the HEG chimeric receptor shown in Figure 4. Under these conditions, mAb74 stimulates Her2 phosphorylation in Her2/32D cells. The results suggest that mAb74 activates Her2 kinase by homodimerization in Her2/32D cells but may activate by heterodimerization in SKBR3 cells.

30

#### EXAMPLE 6

##### Cell Morphologic Change and Apoptosis Induced by anti-Her2 Antibodies

35           Cell morphologic change. Cells were seeded in 5 cm dishes to about 20% confluence and mAbs added after 18

- 30 -

hr. After 5 days, cells were observed with light microscopy, photographed, and counted.

Her2/ MCF7 cells were incubated with 250 nM mAb42b, mAb83 and mAb74. After 5 days incubation, mAb74 caused extensive cell death and a dramatic cell morphology change, primarily elongation of the cell, as shown in Figure 5. mAb83 caused a moderate cell morphology change and 42b resulted in little change. The viable cell number after mAb74 incubation with Her2/MCF7 cells for five days was only 36% of the control done without mAb incubation. mAb74 also induced cell morphological changes in MDAMB43 cells (Figure 5F).

Cell apoptosis. Cells were seeded in 8-well Chamber Slide (Nunc) to about 60-70% confluence and after 18 hr, culture media was changed to 1% FBS-containing media with or without mAb. On day one, cells were fixed with 4% neutral-buffered formalin (NBF) followed by three washes with PBS. After cells were dried, apoptosis was detected using a modified TUNEL method. TUNEL detects 3'-OH DNA ends generated by DNA fragmentation by labeling the ends with digoxigenin-conjugated dUTP using terminal deoxynucleotidyl transferal and then incubating with horseradish peroxidase (HRP)-conjugated anti-digoxigenin. Bound HRP was detected with the substrate, 3-amino-9-ethylcarbazole (Sigma). Most of the reagents were used from Apop Tag *in situ* apoptosis detection kit (Oncor). HRP-conjugated antibodies were from Boehringer Mannheim.

We found that mAb74 has the strongest effect on receptor tyrosine phosphorylation (Fig. 1A), cell morphology change (Fig. 5) and cell death. To clarify the mechanism of the cell death caused by mAb74, we examined apoptosis by a modified TUNEL method. As shown in Figure 6, cells incubated with mAb74 for one day showed apoptosis as detected by red color using the TUNEL method, while incubation with mAb42b was barely apoptotic in MDAMB453 and

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Her2/MCF7 (MCF7 cells transfected with full-length Her2). The number of apoptotic cells induced by 50 nM mAb74 was about 10% of the number induced by 500 nM mAb74, indicating that apoptosis by mAb74 is dose dependent (Figure 6).

5 mAb74 also induced apoptosis in Her2/MCF7 cells. After 5 days of incubation with mAb74, live cells were still present in culture but no apoptosis could be detected suggesting that apoptotic cells were detached and live cells were not undergoing an apoptotic process. The

10 surviving cells had undergone morphological changes such as those seen in Figure 5.

\* \* \*

15 While the invention has been described in what is considered to be its preferred embodiments, it is not to be limited to the disclosed embodiments, but on the contrary, is intended to cover various modifications and equivalents included within the

20 spirit and scope of the appended claims, which scope is to be accorded the broadest interpretation so as to encompass all such modifications and equivalents.

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SEQUENCE LISTING

(1) GENERAL INFORMATION:

(i) APPLICANT: AMGEN INC.

(ii) TITLE OF INVENTION: Antibody-Induced Apoptosis

(iii) NUMBER OF SEQUENCES: 9

(iv) CORRESPONDENCE ADDRESS:

(A) ADDRESSEE: Amgen Inc.  
(B) STREET: 1840 Dehavilland Drive  
(C) CITY: Thousand Oaks  
(D) STATE: California  
(E) COUNTRY: U.S.A.  
(F) ZIP: 91230-1789

(v) COMPUTER READABLE FORM:

(A) MEDIUM TYPE: Floppy disk  
(B) COMPUTER: IBM PC compatible  
(C) OPERATING SYSTEM: PC-DOS/MS-DOS  
(D) SOFTWARE: PatentIn Release #1.0, Version #1.30

(vi) CURRENT APPLICATION DATA:

(A) APPLICATION NUMBER:  
(B) FILING DATE:  
(C) CLASSIFICATION:

(viii) ATTORNEY/AGENT INFORMATION:

(A) NAME: Winter Ph.D., Robert B.  
(C) REFERENCE/DOCKET NUMBER: A-377

(2) INFORMATION FOR SEQ ID NO:1:

(i) SEQUENCE CHARACTERISTICS:

(A) LENGTH: 10 amino acids  
(B) TYPE: amino acid  
(C) STRANDEDNESS: single  
(D) TOPOLOGY: linear

(ii) MOLECULE TYPE: protein

(xi) SEQUENCE DESCRIPTION: SEQ ID NO:1:

Thr Ser Asp Tyr Lys Asp Asp Asp Lys  
1 5 10

- 33 -

(2) INFORMATION FOR SEQ ID NO:2:

- (i) SEQUENCE CHARACTERISTICS:  
(A) LENGTH: 20 base pairs  
(B) TYPE: nucleic acid  
(C) STRANDEDNESS: single  
(D) TOPOLOGY: linear

(ii) MOLECULE TYPE: cDNA

(xi) SEQUENCE DESCRIPTION: SEQ ID NO:2:

CCACCCGGGT TAGAGGAAGA

20

(2) INFORMATION FOR SEQ ID NO:3:

- (i) SEQUENCE CHARACTERISTICS:  
(A) LENGTH: 21 base pairs  
(B) TYPE: nucleic acid  
(C) STRANDEDNESS: single  
(D) TOPOLOGY: linear

(ii) MOLECULE TYPE: cDNA

(xi) SEQUENCE DESCRIPTION: SEQ ID NO:3:

AGTTACGTTC TCTGGGCATT A

21

(2) INFORMATION FOR SEQ ID NO:4:

- (i) SEQUENCE CHARACTERISTICS:  
(A) LENGTH: 22 base pairs  
(B) TYPE: nucleic acid  
(C) STRANDEDNESS: single  
(D) TOPOLOGY: linear

(ii) MOLECULE TYPE: cDNA

(xi) SEQUENCE DESCRIPTION: SEQ ID NO:4:

CATGAGGGCG AACGACGCTC TG

22

(2) INFORMATION FOR SEQ ID NO:5:

- (i) SEQUENCE CHARACTERISTICS:  
(A) LENGTH: 21 base pairs  
(B) TYPE: nucleic acid  
(C) STRANDEDNESS: single  
(D) TOPOLOGY: linear

- 34 -

(ii) MOLECULE TYPE: cDNA

(xi) SEQUENCE DESCRIPTION: SEQ ID NO:5:

CTTGGTCAAT GTCTGGCAGT C

21

(2) INFORMATION FOR SEQ ID NO:6:

(i) SEQUENCE CHARACTERISTICS:

- (A) LENGTH: 37 base pairs
- (B) TYPE: nucleic acid
- (C) STRANDEDNESS: single
- (D) TOPOLOGY: linear

(ii) MOLECULE TYPE: cDNA

(xi) SEQUENCE DESCRIPTION: SEQ ID NO:6:

CGCTCTAGAC CACCATGAGG GCGAACGACG CTCTGCA

37

(2) INFORMATION FOR SEQ ID NO:7:

(i) SEQUENCE CHARACTERISTICS:

- (A) LENGTH: 42 base pairs
- (B) TYPE: nucleic acid
- (C) STRANDEDNESS: single
- (D) TOPOLOGY: linear

(ii) MOLECULE TYPE: cDNA

(xi) SEQUENCE DESCRIPTION: SEQ ID NO:7:

CGCGGATCCG TCGACTCACT ATGTCAGATG GGTTTGCCG AT

42

(2) INFORMATION FOR SEQ ID NO:8:

(i) SEQUENCE CHARACTERISTICS:

- (A) LENGTH: 22 base pairs
- (B) TYPE: nucleic acid
- (C) STRANDEDNESS: single
- (D) TOPOLOGY: linear

(ii) MOLECULE TYPE: cDNA

- 35 -

(xi) SEQUENCE DESCRIPTION: SEQ ID NO:8:

CCAAACATGA CTGACTTCAG TG

22

(2) INFORMATION FOR SEQ ID NO:9:

- (i) SEQUENCE CHARACTERISTICS:
- (A) LENGTH: 46 base pairs
  - (B) TYPE: nucleic acid
  - (C) STRANDEDNESS: single
  - (D) TOPOLOGY: linear

(ii) MOLECULE TYPE: cDNA

(xi) SEQUENCE DESCRIPTION: SEQ ID NO:9:

GGCCAATTGC GGCGGCTTAC TAATCCATCA GGCGGATGCA GTCTTC

46

- 36 -

CLAIMS:

5               1. An antibody or fragment thereof which induces apoptosis in cells expressing Her2.

10              2. The antibody of Claim 1 which recognizes an epitope on a Her2 polypeptide which is recognized by the monoclonal antibody produced by the hybridoma cell line ATCC No. HB-12078

15              3. The antibody of Claim 1 which is a monoclonal antibody.

20              4. The antibody of Claim 1 which is a humanized antibody.

25              5. The antibody of Claim 1 which is a human antibody.

30              6. A hybridoma cell line capable of producing the antibody of Claim 3.

35              7. The antibody of Claim 1 wherein the fragment is a F(ab) or Fab' fragment.

8. An antibody produced by the hybridoma cell line ATCC No. HB-12078

30              9. Hybridoma cell line ATCC No. HB-12078.

35              10. The antibody of Claim 1 wherein the Her2 expressing cells are tumor cells.

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11. The tumor cells of Claim 10 which are derived from breast, ovarian, prostate, gastric and colorectal cancers.

5 12. A method for inducing apoptosis in Her2 expressing cells comprising administering an amount of the antibody of Claim 1 sufficient to induce apoptosis.

10 13. The method of Claim 12 wherein the cells are cancer cells.

14. A method of treating cancer in a patient comprising administering an amount of an antibody of Claim 1 sufficient to induce apoptosis.

15 15. A pharmaceutical composition comprising an amount of an antibody of Claim 1 sufficient to induce apoptosis in a mixture with a pharmaceutically acceptable adjuvant.

20 16. The composition of Claim 15 wherein the antibody is a monoclonal antibody.

25 17. The composition of Claim 15 wherein the antibody is a humanized antibody.

18. The composition of Claim 15 wherein the antibody is a human antibody.

## FIGURE 1

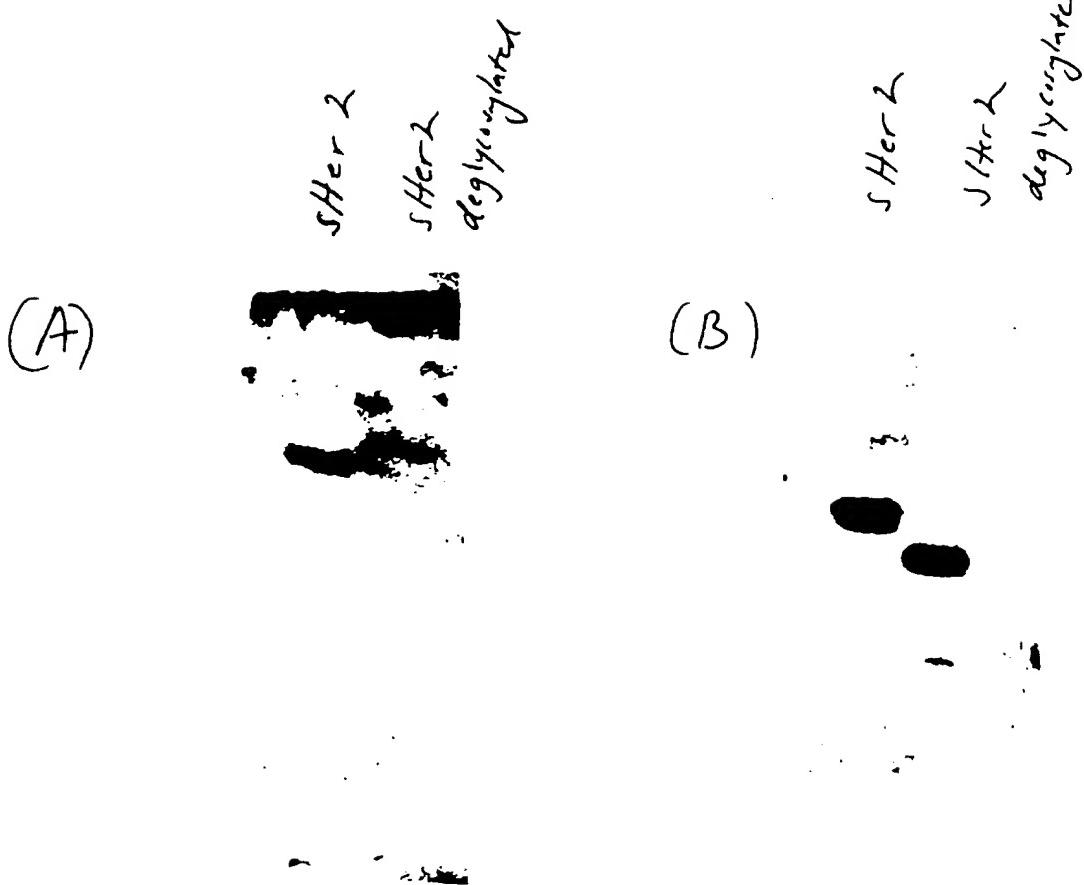


FIGURE 2A

**SKBR3**

NDF $\alpha$ 2  
mAb 42b  
mAb 97  
mAb 86  
mAb 83  
mAb 80  
mAb 74  
mAb 73  
mAb 58  
mAb 52  
mAb 43  
mAb 35  
mAb 29  
DMEM



**Western  
Blot**

**PTY**

2/11

## FIGURE 2B

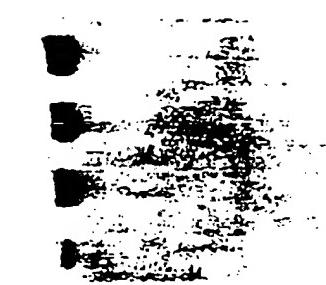
SKBR3

mAb 74



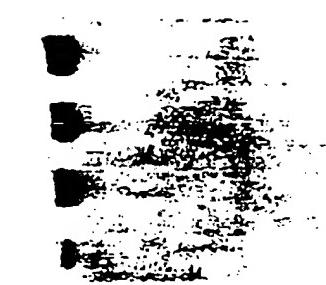
NDF $\alpha$ 2, 2nM  
10nM  
25nM  
50nM  
100nM  
250nM  
DMEM control  
DMEM control

p185 →



mAb 83

250nM  
100nM  
50nM  
25nM

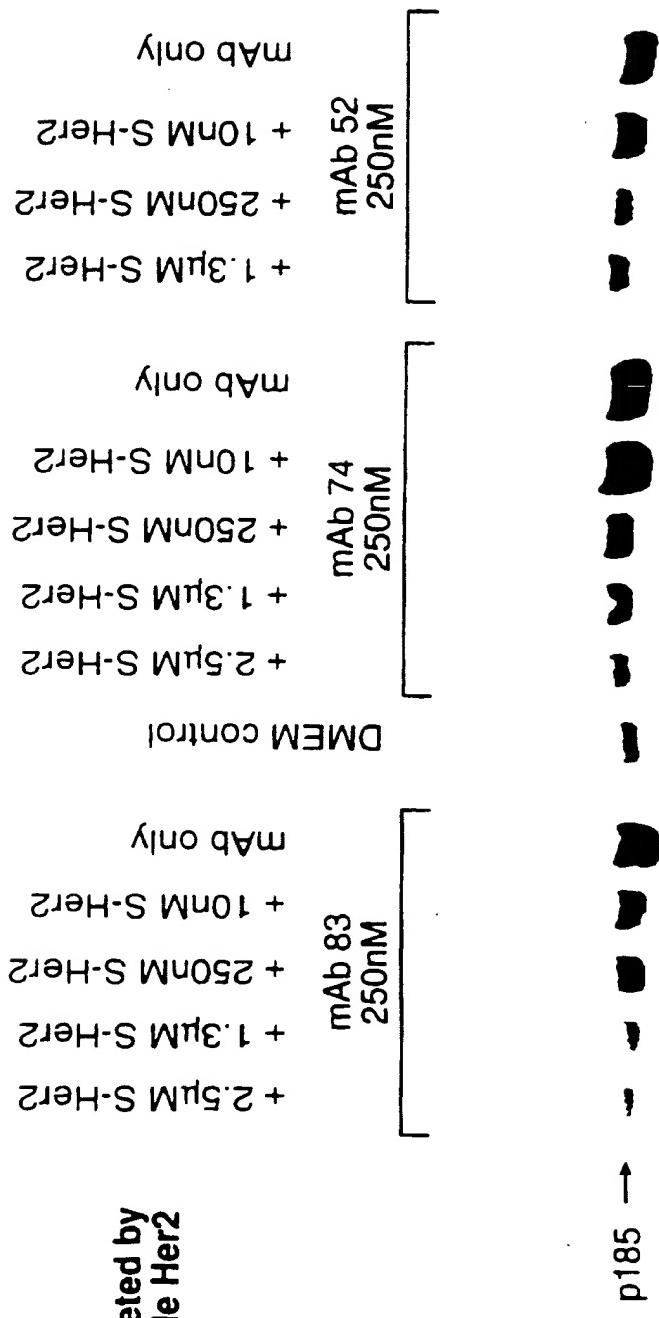


Western Blot

PTY

## FIGURE 3

SKBR3

Competed by  
Soluble Her2

4/11

PTV  
Western Blot

## FIGURE 4

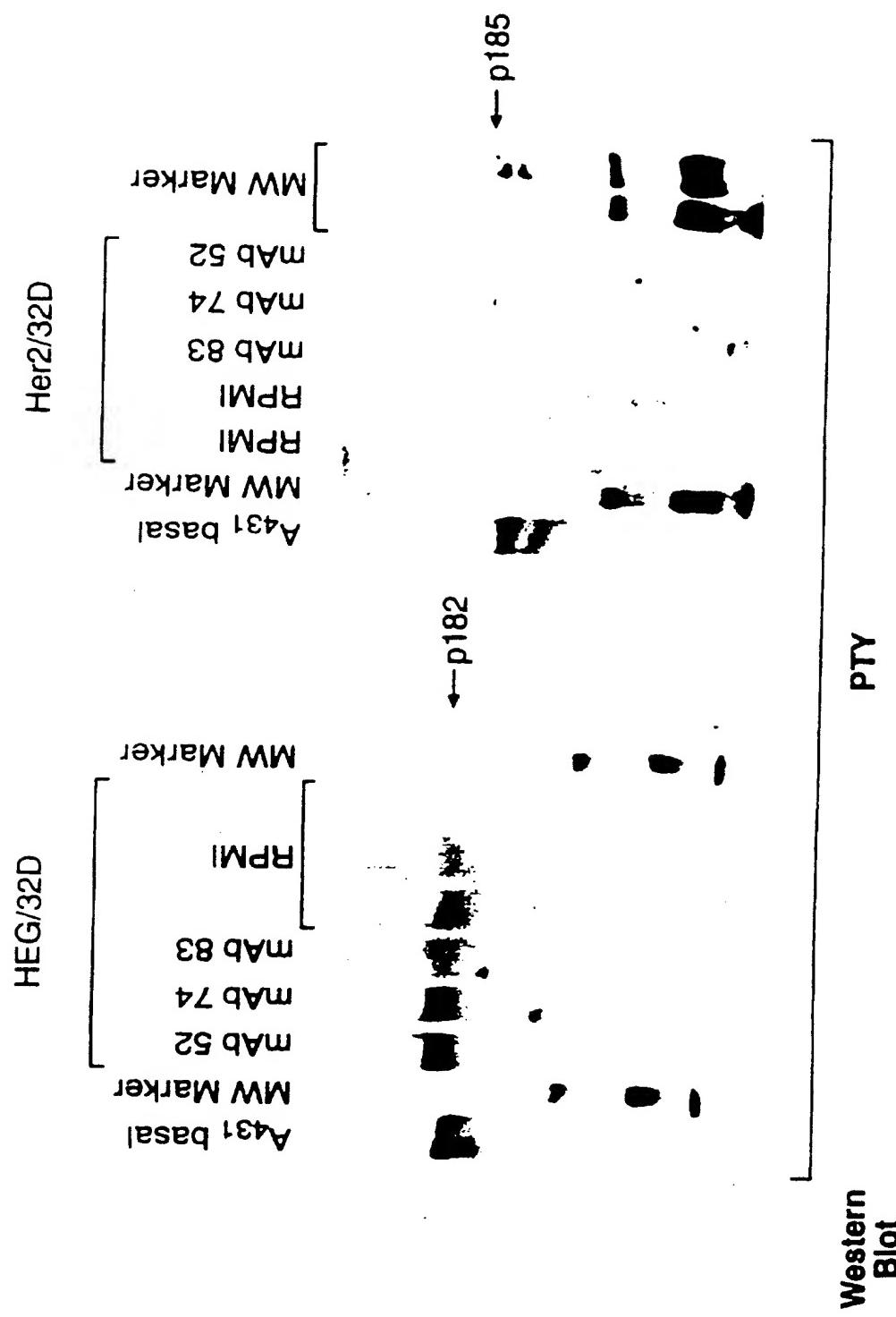
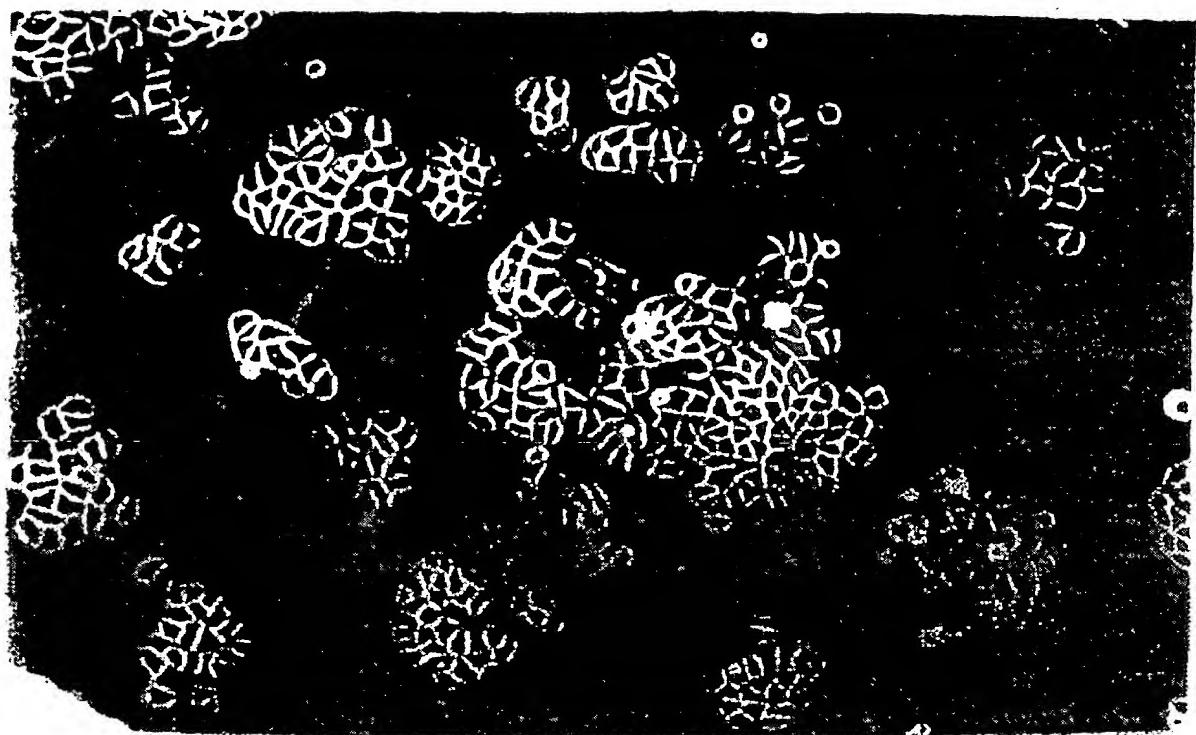


FIGURE 5

(E)



(F)

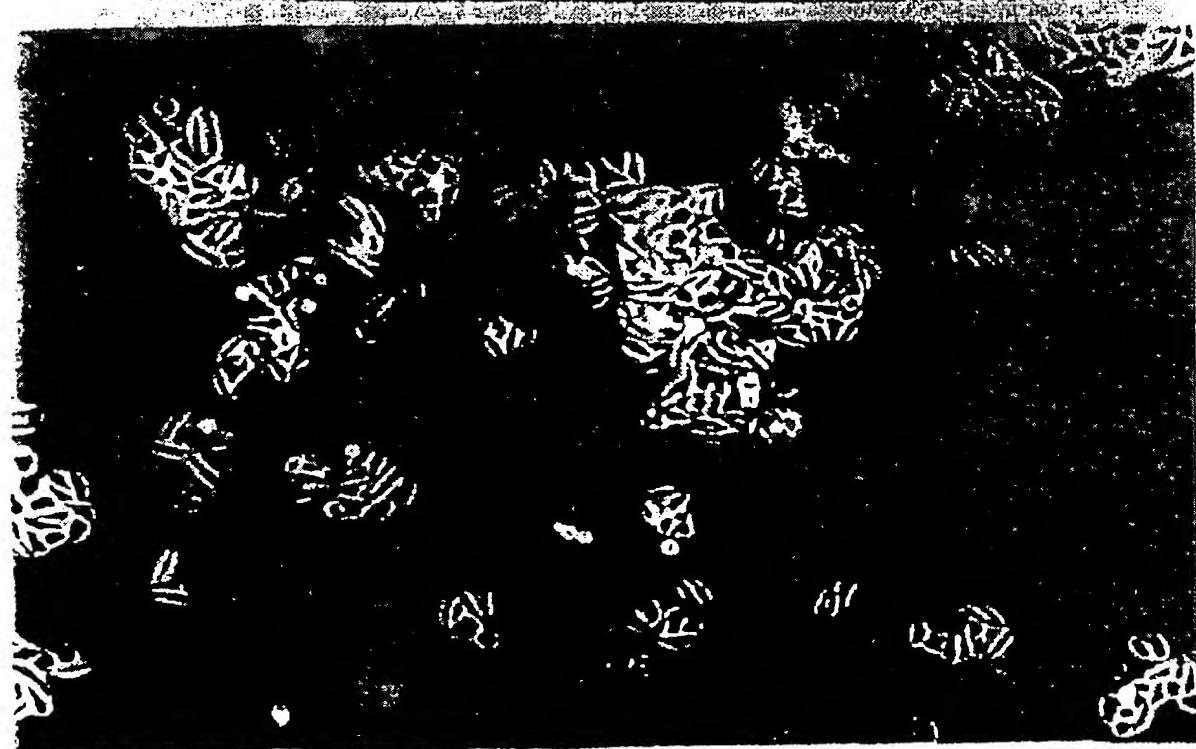


FIGURE 6

(A)

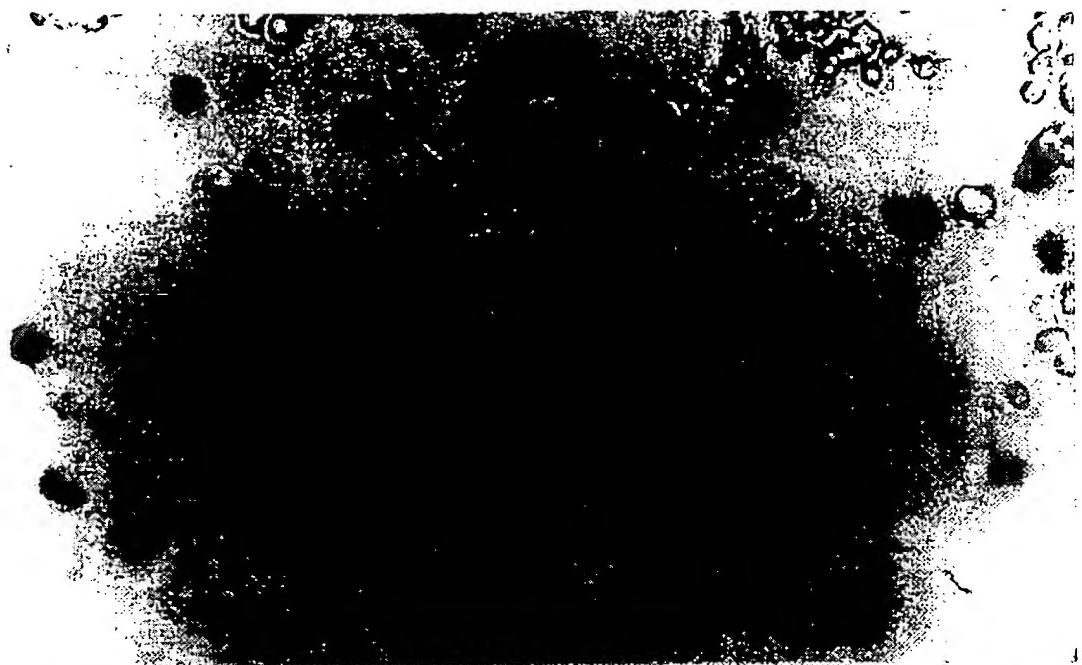


(B)

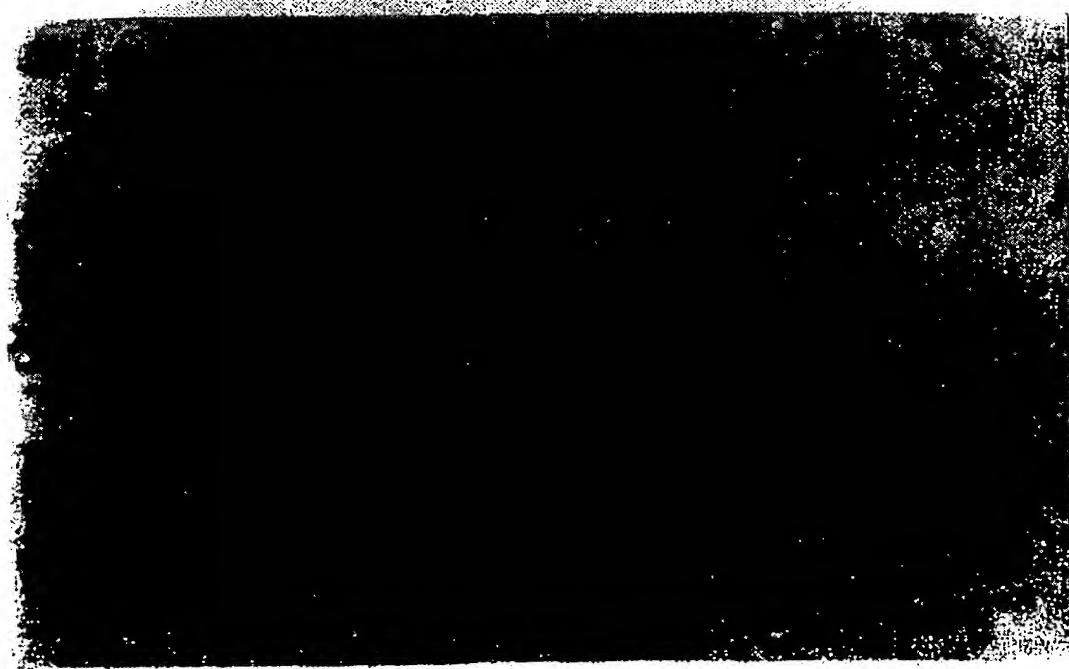


FIGURE 6

(C)



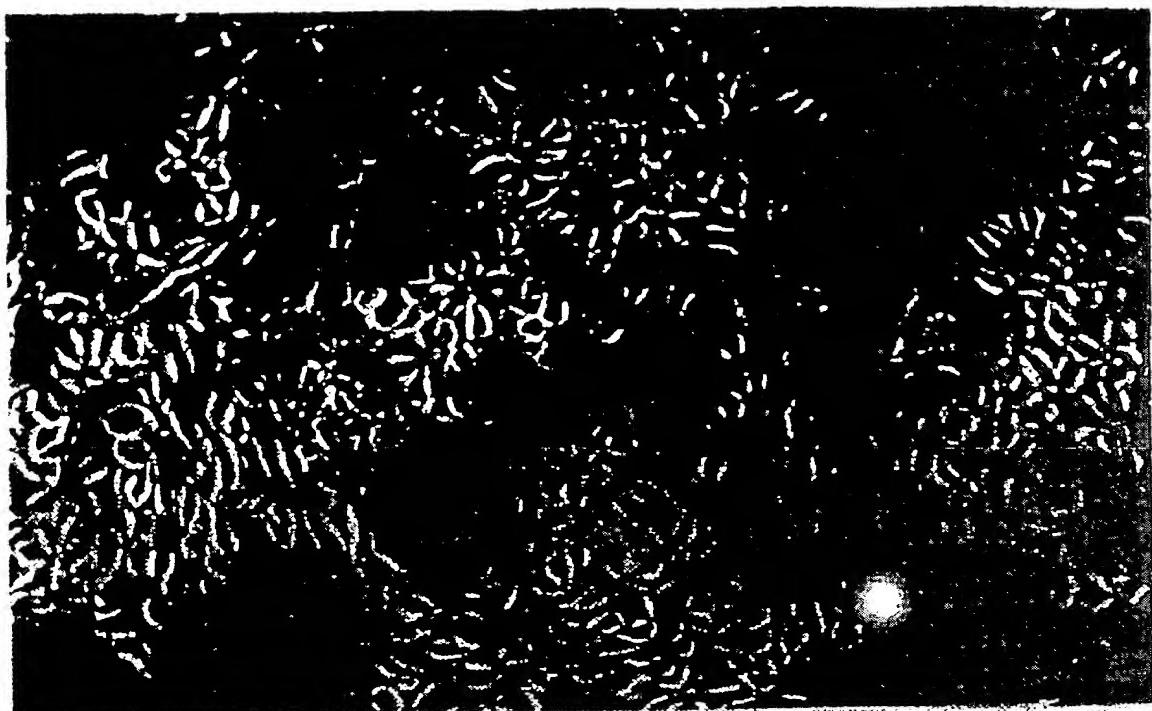
(D)



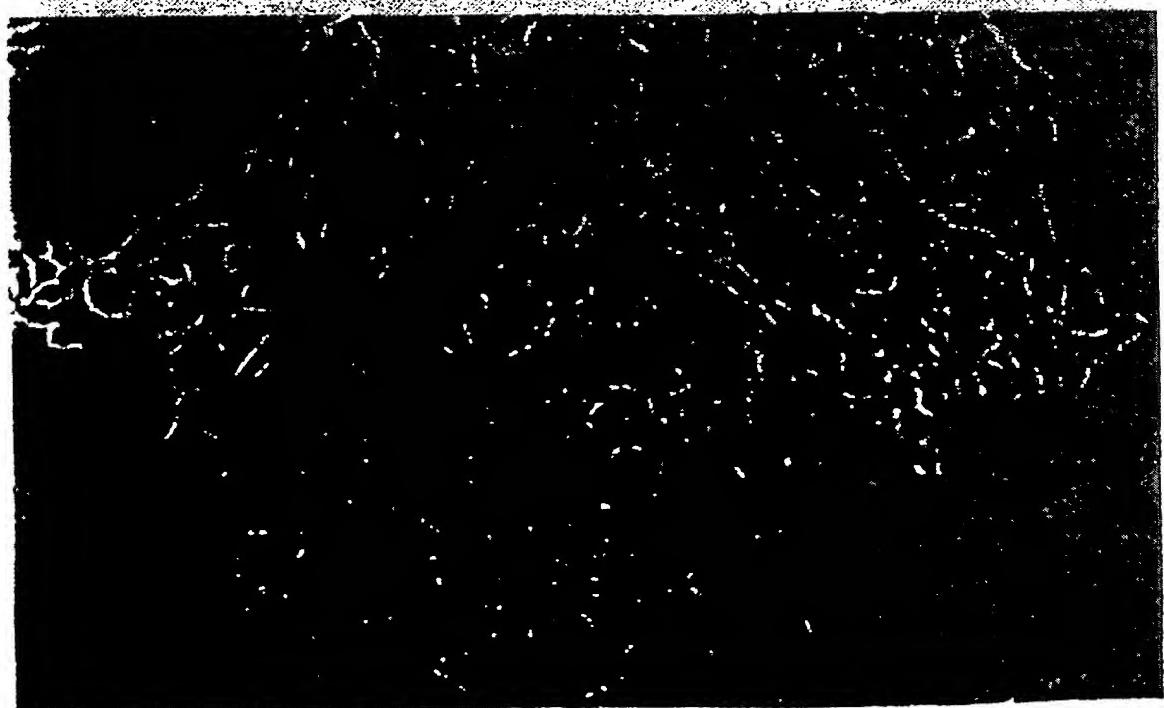
10/11

FIGURE 6

(E)



(F)



## INTERNATIONAL SEARCH REPORT

Int'l Application No  
PCT/US 96/19289

A. CLASSIFICATION OF SUBJECT MATTER  
IPC 6 C07K16/32 C07K16/46 C12N5/20 C12N5/10 A61K39/395

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)  
IPC 6 C07K C12N A61K

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	<p>THE JOURNAL OF INVESTIGATIVE MEDICINE, vol. 32, no. suppl. 2, April 1995, THOROFARE, NJ, USA, page 328A XP000645038</p> <p>J. DESHANE ET AL.: "Intracellular antibody knockout of the erbB2 oncoprotein achieves targeted eradication of tumor targets by induction of apoptosis." see abstract in the middle of the right-hand column</p> <p>---</p> <p>-/-</p>	1,3-7, 10-18

Further documents are listed in the continuation of box C.

Patent family members are listed in annex.

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1

Date of the actual completion of the international search

Date of mailing of the international search report

19 March 1997

26.03.97

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## INTERNATIONAL SEARCH REPORT

International Application No  
PCT/US 96/19289

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	CANCER GENE THERAPY, vol. 1, no. 4, December 1994, pages 333-334, XP000645029 J. GRIM ET AL.: "Induction of apoptotic cell death in erbB-2 overexpressing tumor cells of diverse histologic subtypes mediated by intracellular localization of an anti-erbB-2 sFv." see V-100 ---	1,3-7, 10-18
X	GENE THERAPY, vol. 2, no. suppl. 1, November 1995, BASINGSTOKE, GB, page S20 XP000645026 D. CURIEL: "Strategies to accomplish targeted tumor cell cytotoxicity." see abstract 71 ---	1,3-7, 10-18
X	THE JOURNAL OF CLINICAL INVESTIGATION, vol. 95, no. 4, April 1995, NEW YORK, NY, USA, pages 1897-1905, XP000645039 X. WU ET AL.: "Apoptosis induced by an anti-epidermal growth factor receptor monoclonal antibody in a human colorectal carcinoma cell line and its delay by insulin." cited in the application see the whole document ---	1,3-7, 10-18
A	GROWTH FACTORS, vol. 4, no. 4, 1991, LONDON, GB, pages 305-316, XP000645022 R. CAMPOS-GONZALEZ ET AL.: "Immunodetection of the ligand-activated receptor for epidermal growth factor." see the whole document ---	2,8,9
A	BIOCHEMISTRY, vol. 31, no. 24, 23 June 1992, WASHINGTON, DC, USA, pages 5434-5441, XP002027855 R. KELLEY ET AL.: "Antigen binding thermodynamics and antiproliferative effects of chimeric and humanized anti-p185HER2 antibody Fab fragments." see abstract ---	3,4,7, 16,17
A	WO 94 00136 A (MOLECULAR ONCOLOGY INC.) 6 January 1994 see abstract ---	1-18
1		-/-

## INTERNATIONAL SEARCH REPORT

Inte onal Application No  
PCT/US 96/19289

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
P,X	BIOCHEMICAL AND BIOPHYSICAL RESEARCH COMMUNICATIONS, vol. 226, no. 1, 4 September 1996, DULUTH, MN, USA, pages 59-69, XP002027856 Y. KITA ET AL.: "ErbB receptor activation, cell morphology changes, and apoptosis induced by anti-Her2 monoclonal antibodies." see the whole document ---	1-18
P,X	WO 96 07321 A (THE UAB RESEARCH FOUNDATION) 14 March 1996 see page 26, line 11 - line 31 see claims -----	1,3-7, 10-18

1

# INTERNATIONAL SEARCH REPORT

International application No

PCT/US 96/ 19289

## Box I Observations where certain claims were found unsearchable (Continuation of item 1 of first sheet)

This International Search Report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons

1.  Claims Nos.: 12-14  
because they relate to subject matter not required to be searched by this Authority, namely.  
Remark: Although these claims are directed to a method of treatment of the human/animal body, the search has been carried out and based on the alleged effects of the compound/composition.
2.  Claims Nos.:  
because they relate to parts of the International Application that do not comply with the prescribed requirements to such an extent that no meaningful International Search can be carried out, specifically:
3.  Claims Nos.:  
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6(4)(a).

## Box II Observations where unity of invention is lacking (Continuation of item 2 of first sheet)

This International Searching Authority found multiple inventions in this international application, as follows:

1.  As all required additional search fees were timely paid by the applicant, this International Search Report covers all searchable claims.
2.  As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
3.  As only some of the required additional search fees were timely paid by the applicant, this International Search Report covers only those claims for which fees were paid, specifically claims Nos. .
4.  No required additional search fees were timely paid by the applicant. Consequently, this International Search Report is restricted to the invention first mentioned in the claims; it is covered by claims Nos. .

### Remark on Protest

- The additional search fees were accompanied by the applicant's protest
- No protest accompanied the payment of additional search fees

## INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/US 96/19289

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
WO 9400136 A	06-01-94	AU 3773393 A CA 2120745 A EP 0655924 A FI 941572 A JP 8504172 T US 5587458 A	24-01-94 06-01-94 07-06-95 27-05-94 07-05-96 24-12-96
WO 9607321 A	14-03-96	NONE	

Form PCT/ISA/210 (patent family annex) (July 1992)



## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(51) International Patent Classification <sup>6</sup> :		(11) International Publication Number:	WO 97/20858
C07K 16/32, 16/46, C12N 5/20, 5/10, A61K 39/395	A1	(43) International Publication Date:	12 June 1997 (12.06.97)

(21) International Application Number:	PCT/US96/19289	(81) Designated States:	AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CU, CZ, DE, DK, EE, ES, FI, GB, GE, HU, IL, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, TJ, TM, TR, TT, UA, UG, UZ, VN, ARIPO patent (KE, LS, MW, SD, SZ, UG), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, ML, MR, NE, SN, TD, TG).
(22) International Filing Date:	4 December 1996 (04.12.96)		
(30) Priority Data:			
08/568,072	5 December 1995 (05.12.95)	US	
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(54) Title: APOPTOSIS INDUCED BY MONOCLONAL ANTIBODY ANTI-HER2

## (57) Abstract

Anti-Her2 antibodies which induce apoptosis in Her2 expressing cells are disclosed. The antibodies are used to "tag" Her2 overexpressing tumors for elimination by the host immune system. Also disclosed are hybridoma cell lines producing the antibodies, methods for treating cancer using the antibodies, and pharmaceutical compositions.

\* (Referred to in PCT Gazette No. 42/1997, Section II)

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## APOPTOSIS INDUCED BY MONOCLONAL ANTIBODY ANTI-HER2

### Field of the Invention

The present invention relates to anti-Her2 antibodies and more particularly to anti-Her2 antibodies which induce apoptosis in Her2 expressing cells.

### Background of the Invention

The Her2 oncogene encodes a membrane-associated glycoprotein referred to as p185<sup>HER-2</sup> having tyrosine kinase activity. Her2 is a member of the epidermal growth factor (EGF) receptor subfamily, which includes EGF receptor and Her3 and Her4 receptors (Kraus et al. Proc. Natl. Acad. Sci. USA 86, 9193-9197 (1989); Plowman et al. Proc. Natl. Acad. Sci. USA 90, 1746-1750 (1993)). The Her2 sequence was reported by Semba et al. (Proc. Natl. Acad. Sci. USA 82, 6497-6501 (1985)); Coussens et al. (Science 230, 1132-1139 (1985)) and King et al. (Science 229, 974-976 (1985)). A related rat gene was reported by Schecter et al (Nature 312, 515-516 (1984)).

Increased expression of the Her2 oncogene in tumor cells and cell lines has been reported by several groups (Coussens et al., supra; King et al., supra). The increased expression of Her2 results from gene amplification or increased expression of the single copy gene. These observations suggested that Her2 may be overexpressed in human cancer tissue. Slamon and colleagues (Slamon et al. Science 235, 177-182 (1987); Slamon et al. Science 244, 707-712 (1989)) examined Her2 expression levels in tumors taken from a large sample of breast and ovarian cancer patients. It was found that nearly 30% of those patients had amplification and over-expression of the Her2 gene which was associated with

- 2 -

a poor clinical outcome (increased relapse and low survival rate) particularly in node-positive breast cancer patients. The correlations reported by Slamon have been confirmed in a number of studies (see, for example, Ro et al. Cancer Res. 49, 6941-6944 (1989); Walker et al. Brit. J. Cancer 60, 426-429 (1989); Wright et al. Cancer Res. 49, 2087-2090 (1989); Berchuck et al. Cancer Res. 50, 4087-4091 (1990); Kallioniemi et al. Int. J. Cancer 49, 650-655 (1991); Rilke et al. Int. J. Cancer 49, 44-49 (1991)).

The presence of certain factors, such as Her2 overexpression, that are indicative of a poor prognosis may suggest that adjuvant therapy after surgical removal of the tumor is appropriate. Adjuvant therapy can include high dose chemotherapy and autologous bone marrow transplantation. It has recently been reported (Muss et al. N. Engl. J. Med. 330, 1260-1266 (1994)) that breast cancer patients having tumors displaying Her2 overexpression enjoyed significant benefits from adjuvant therapy.

By analogy with other receptor protein tyrosine kinases, it is assumed that a ligand for Her2 stimulates receptor phosphorylation. A number of polypeptide factors have been reported to increase tyrosine phosphorylation of Her2 and were presumed to be a ligand (Wen et al. Cell 64, 559-572 (1992); Holmes et al. Science 256, 1205-1210; Marchionni et al. Nature 362, 312-318 (1993); Falls et al. Cell 72, 801-815 (1993)). However, there is no evidence that any of these factors are true ligands which bind directly to Her2 and stimulate receptor phosphorylation. One approach to circumvent the absence of ligand is to generate a ligand-like monoclonal antibody (mAb). Several groups have generated anti-Her2 mAbs using either a cell-surface Her2 receptor or a purified extracellular domain of Her2 receptor (Yarden, Proc. Natl. Acad. Sci. USA 87, 2569-2573 (1990); Hanwerth et al. Br. J. Cancer 68, 1140-1145 (1993); Srinivas et al. Cancer Immunol.

- 3 -

Immunother. 36, 397-402 (1993); Stancovaski et al. Proc. Natl. Acad. Sci. USA 88, 8691-8695 (1991)). These mAbs stimulated tyrosine phosphorylation of Her2 from overexpressing cells, but were not fully characterized in terms of binding to and phosphorylation of each of Her2, Her3 or Her4 or in terms of the kinase activation in Her2 transfected cells.

Growth inhibitory effects of anti-Her2 mAbs on breast cancer cells have been reported previously (Tagliabue et al. Int. J. Cancer 47, 933-937 (1991); Hudziak et al. Mol. Cell. Biol. 9, 1165-1172 (1989); Drevin et al. Oncogene 2, 387-394 (1988); Fendly et al. Cancer Res. 50, 1550-1558 (1990); Hanwerth et al., *supra*; see also review by Vitetta and Uhr, Cancer Res. 54, 5301-5309 (1994)), but these effects were interpreted to be cytostatic since removal of antibody allowed resumption of cell growth. Xu et al. (Int. J. Cancer 53, 401-408 (1993)) reported anti-Her2 antibodies which were cytotoxic for anchorage-independent tumor cell growth.

An anti-EGF receptor mAb was reported to induce apoptosis on the human colorectal carcinoma cell line, DiFi, which overexpresses EGF receptor, and to induce morphological changes at concentrations of 5 to 20 nM. These effects were interpreted in terms of both blockage of EGF binding to the cognate receptor by the competing mAb and lack of the mAb mitogenic activity (Wu et al. J. Clin. Invest. 95, 1897-1905 (1995)).

Apoptosis, or programmed cell death, is a form of cell death characterized by cell shrinkage and DNA fragmentation. Collapse of the cell nucleus is apparent as chromatin is fragmented into single or multiple mononucleosomal units, a process mediated by an endogenous endonuclease. Apoptosis is distinct from necrotic cell death which results in cell swelling and release of intracellular components (Kerr et al. Br. J. Cancer 26, 239-257 (1972); Wyllie et al. Int. Rev. Cytol. 68, 251-306

- 4 -

(1980); Wyllie *Nature* 284, 555-556 (1980)). Apoptotic cells, without releasing such components, are phagocytosed and hence degraded (Savill et al. *Nature* 343, 170-173 (1990)). Therefore, apoptosis results in an efficient 5 process for elimination of nonviable cells by the host's own defense mechanisms.

It is an object of the invention to generate antibodies to Her2 which induce apoptosis in Her2 expressing cells and thereby "tag" such cells for removal 10 from the host. The antibodies are useful for inducing apoptosis in tumors. This represents a substantial improvement over currently available antibody therapy for cancer which typically involves killing tumor cells by antibody in conjunction with a cytotoxic agent. Cytotoxic 15 agents generally produce undesirable side effects which, if severe, can lead to a reduction or interruption of treatment. The present approach allows for killing of tumor cells by the host immune system, thereby avoiding the effects of cytotoxic agents and tumor cell necrosis induced 20 by such agents.

#### Summary of the Invention

Antibodies which induce apoptosis in cells expressing Her2 are provided by the invention. It has 25 been found that an antibody which stimulates phosphorylation of Her2 receptors in cell lines also has the unexpected effect of inducing changes in Her2 expressing cells characteristic of apoptosis. These changes include DNA fragmentation and loss of viability 30 and are observed in the treated cell population within 24 hours. Such an antibody is useful for tagging Her2 overexpressing cells for elimination by host defense mechanisms.

The antibodies of the invention may recognize 35 an epitope on Her2 which is recognized by the mAb74 antibody. The epitope was distinct from epitopes

- 5 -

recognized by other antibodies which also bound to Her2 but did not induce apoptosis, suggesting that the region of Her2 which interacts with antibody is important in eliciting an apoptotic response. Antibodies that induce 5 apoptosis may exist as full-length antibodies having intact variable and constant regions or fragments thereof which retain Her2 binding and apoptosis. The antibodies may be produced by hybridoma cell lines or by recombinant DNA methods.

10 Methods for treating cancers characterized by Her2 overexpression are encompassed by the invention. A number of cancers, including breast, ovarian, prostate and colorectal cancers, are predicted to be more invasive and thus more lethal when they exhibit 15 overexpression of Her2. The correlation between Her2 expression and poor prognosis (increased relapse and higher mortality) in certain cancers has made Her2 an attractive target for cancer therapeutics. The present invention provides a method for targeting the 20 elimination of cancer cells overexpressing Her2 by inducing apoptosis in said cells.

Pharmaceutical compositions comprising the antibodies of the invention in a pharmaceutically acceptable adjuvant are also provided.

25

#### Description of the Figures

Figure 1. Binding of mAb74 to glycosylated and 30 deglycosylated sHer2 by Western blot analysis. (a) Extent of Her2 deglycosylation by CHO staining after nonreducing SDS-PAGE; (b) Binding of mAb74 to glycosylated and deglycosylated Her2 as analyzed by Western blotting after nonreducing SDS-PAGE.

35 Figure 2. Her2 and Her3 tyrosine phosphorylation induced by mAb stimulation in SKBR3. SKBR3 cells were seeded in a

- 6 -

48-well plate for 5 min at 37°C for 18 hours before mAb stimulation. Cells were solubilized with SDS sample buffer. Solubilized samples were electrophoresed on 6% polyacrylamide gels, followed by Western blotting and probing with anti-phosphotyrosine antibody. (a) All mAb concentrations were 250 nM in DMEM. 2 nM neu differentiation factor - $\alpha$  (NDF $\alpha$ ) was used as a positive control. (b) mAb dose dependence of tyrosine phosphorylation.

10

Figure 3. Inhibition by soluble Her2 receptor of receptor tyrosine phosphorylation induced by mAb. Phosphorylation assay is similar to that described in Figure 2. Cells were incubated with 250 nM mAb with different concentrations of sHer2.

15

Figure 4. Receptor tyrosine phosphorylation of transfected cell lines, Her2/32D and HEG/32D, induced by mAb stimulation. For phosphorylation assay, cells were pelleted by centrifugation, washed with PBS, and then incubated with 100  $\mu$ l of 250 nM mAbs in RPMI for 5 min at 37°C, followed by quenching with the addition of 1 ml ice cold PBS and centrifugation at 4°C. Supernatant was removed and SDS sample buffer added to the centrifuged pellet. The sample was subjected to 6% SDS-PAGE followed by Western blotting and probing with anti-PTY. A431 basal phosphorylated sample was used as a positive control.

20

Figure 5. Cell morphologic change induced by mAbs. Cells (a-d, Her2/MCF7; e,f, MDAMB453) were grown in 1% FBS in culture media with or without mAb. After 5 days, cells were observed and photographed. (a,e) control (without mAb). (b) 250 nM mAb74. (c) 250 nM mAb83. (d) 250 nM mAb42b. (f) 100 nM mAb74.

35

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Figure 6. Detection of apoptotic cells with a modified TUNEL method. MDAMB453 (a-d) cells or Her2/MCF7 (e,f) cells were incubated with or without mAbs in 1% FBS culture media for one day followed by an apoptosis assay. (a,e) 5 control (without mAb). (b) 50 nM mAb74. (c,f) 500 nM mAb74. (d) 500 nM mAb42b.

Detailed Description of the Invention

Monoclonal antibodies (mAbs) which bind to 10 Her2 have been generated by immunizing mice with purified soluble Her2. Soluble Her2 was expressed and purified as described in Example 1. Mabs which bound to soluble Her2 in enzyme-linked immunosorbent assays (EIA) were subjected to dilution cloning and rescreening by 15 EIA and BIACore for binding to Her2 (Example 2). Ten clones were selected for further analysis. Purified antibodies from these clones were found to preferentially bind soluble Her2 and showed little or no binding to soluble Her3 and Her4. The biological 20 effects of selected antibodies were studied for receptor dimerization, receptor phosphorylation and changes in cell physiology. All the antibodies tested formed 2:1 (receptor:antibody) complexes with Her2 (Example 4). Three different antibodies stimulated phosphorylation of 25 Her2 and Her3 receptors on SKBR3 cells and Her2, Her3 and Her4 receptors on MDAMB453 cells. Phosphorylation of all receptors was inhibited by soluble Her2, suggesting that the ligand-like effects of the mabs are mediated directly through Her2.

30 One antibody, mAb74, induced dramatic changes in the physiology of cells expressing Her2 (Examples 5 and 6). Treatment of MCF7 cells transfected with a full-length Her2 gene or treatment of MDAMB453 cells which naturally express Her2 with mAb74 resulted in a 35 marked change in cell morphology and extensive cell death. One other antibody, mAb83, showed a moderate

- 8 -

effect on cell morphology. In those cells which were nonviable, apoptosis had been induced as evidenced by extensive DNA fragmentation. However, a subpopulation of cells escaped the activity of mAb74 and were not 5 apoptotic.

The invention provides for an antibody or fragment thereof which induces apoptosis in Her2 expressing cells. As used herein, the term "apoptosis" denotes programmed cell death characterized by nuclear 10 collapse and DNA degradation. Cells undergoing apoptosis in response to the antibodies of the invention will have at least Her2 on the cell surface and optionally Her3 and Her4. It is preferred that the 15 cells or tissues being targeted exhibit levels of expression of Her2 that are greater than a normal basal level. Her2 overexpression may be at least 10% higher than a normal basal level, or more preferably 20% higher, or more preferably 30% higher. As used herein, the term "Her2 overexpression" refers to any level of 20 Her2 expression which is greater than the normal basal level. As indicated in the Background section, various cancers are characterized by Her2 overexpression. A basal level of Her2 expression is typically that measured in noncancerous tissues and cells which express 25 Her2.

Antibodies of the invention bind to an epitope of Her2 such that binding results in Her2 dimerization, Her2 phosphorylation and cell apoptosis. As used herein, the term "epitope" refers to a region of Her2 bound by 30 an antibody which is protected from binding by a second antibody. In a preferred embodiment, the epitope is defined by the binding of mAb74 to Her2. This epitope is distinct from epitopes recognized by other anti-Her2 antibodies (see Table 1). It is noteworthy that other 35 anti-Her2 antibodies induce Her2 dimerization and phosphorylation, but not apoptosis, and recognize

- 9 -

epitopes on Her2 that are distinct from that recognized by mAb74.

Antibodies of the invention may be polyclonal or monoclonal or fragments thereof. Murine polyclonal and monoclonal antibodies are produced by standard immunological techniques. Antibody fragments encompass those antibodies which interact specifically with Her2 and induce apoptosis in cells and tissues expressing Her2. As indicated below in the examples, there is a correlation between apoptotic activity of mAb74 and Her2 receptor phosphorylation and dimerization. Therefore, it is preferred that the antibody fragments of the invention retain their bivalent structure which is likely to promote receptor dimerization and activation.

Also encompassed are antibodies made by recombinant means such as chimeric antibodies (variable region and constant region derived from different species) and CDR-grafted antibodies (complementary determining region derived from a different species) as described in U.S. Patent Nos. 4,816,567 and 5,225,539. Preferably, the antibodies are at least partly of human origin. These include humanized antibodies, typically produced by recombinant methods, wherein the human sequences comprise part or all of the antibody. Also included are fully human antibodies produced in genetically-altered mice (see PCT Application No. 93/12227).

Antibodies of the invention may also have a detectable label attached thereto. The label may be a fluorescent, enzymatic, affinity or isotopic label. Examples include fluorescein isothiocyanate (FITC) for detection by fluorescence; horseradish peroxidase which allows detection by cleavage of a chromogenic substrate, radioisotopes such as  $I^{125}$  for detection by autoradiography and avidin/biotin for antibody detection and affinity purification of antigens and antigen-bearing cells.

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Also encompassed by the invention are hybridoma cell lines producing a monoclonal antibody wherein the antibody induces apoptosis in Her2 expressing cells and tissues. In one embodiment, the 5 hybridoma produces a monoclonal antibody which recognizes an epitope on Her2 such that an antibody-Her2 complex results in induction of apoptosis. Preferably, the hybridoma produces an antibody which recognizes the epitope on Her2 which is recognized by mAb74. The 10 hybridoma cell line which produces mAb74 has been deposited with the American Type Culture Collection, Rockville, MD on \_\_\_\_\_ under accession no.

Various cancers are characterized by elevated 15 levels of Her2 expression, including breast, ovarian, prostate, gastric and colorectal cancers (Press et al. in Effects of Therapy on Biology and Kinetics of the Residual Tumor, Part A: Preclinical Aspects pp. 209-221 (1990); Fukushige et al. Mol. Cell. Biol. 6, 955-958 20 (1986); Bargmann et al. in The Oncogene Handbook pp. 107-119 (1988)). A correlation between poor prognosis and Her2 overexpression in cancerous tissue has been reported. Patients with poor prognosis typically have a greater rate of relapse and a higher incidence of 25 mortality. Often, such patients may benefit from an aggressive treatment regimen that includes high dose chemotherapy. Such therapy is expensive and may present risks to the patient. It has been proposed to use anti-Her2 antibodies in a cancer treatment regimen to inhibit tumor growth wherein the antibodies are used in conjunction with cytotoxic agents. One approach 30 involves combinations of anti-Her2 antibodies and chemotherapeutic agents (such as cisplatin, 5-fluorouracil and others) to enhance the cytotoxic 35 effect of chemotherapy drugs (this effect is referred to as antibody-dependent cellular cytotoxicity, or ADCC).

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A second approach uses immunotoxins or conjugates of antibodies with cytotoxic agents such as various A chain toxins, ribosomes inactivating proteins, and ribonucleases. Another approach involves the use of 5 bispecific antibodies designed to induce cellular mechanisms for killing tumors (see, for example, U.S. Patent Nos. 4,676,980 and 4,954,617).

The antibodies of the present invention are themselves toxic to Her2 expressing cells by inducing 10 apoptosis. They may be used advantageously in the treatment of cancer characterized by Her2 overexpression, such as breast, ovarian, gastric, prostate and colorectal cancers. The use of the antibodies has significant advantages over previous 15 approaches in that administration of cytotoxic agents which are deleterious to all growing cells can be avoided. It is anticipated that use of the antibodies alone to treat cancer will greatly reduce undesirable side effects associated with the administration of high 20 dose cytotoxic agents or combinations of chemotherapy/antibody combination therapy. Alternatively, if a cytotoxic agent is used, use of the present antibodies in conjunction with cytotoxic agents is expected to be advantageous in that less cytotoxic 25 agent may be used in order to achieve the same therapeutic effect. An antibody such as mAb74 may be administered alone or in combination with other anti-Her2 antibodies which induce apoptosis.

It is expected that the route of 30 administration for the antibodies of the invention will be parenteral. Administration may be subcutaneous, intravenous or intramuscular injection and may be a single bolus injection or by continuous infusion. The amount of antibody to be used will vary depending upon 35 the nature and severity of the condition but in general

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will range from about 0.1 µg/kg body weight to about 100 mg/kg body weight.

The invention provides for a pharmaceutical composition comprising a therapeutically effective amount of an anti-Her2 antibody which induces apoptosis with a pharmaceutically acceptable adjuvant. The adjuvant is selected from one or more of a diluent, carrier, preservative, emulsifier, anti-oxidant and/or stabilizer. Pharmaceutically acceptable adjuvants are known to one skilled in the art and are surveyed extensively in Remington's Pharmaceutical Sciences 18th ed. A.R. Gennaro, ed. Mack, Easton, PA (1990). The pharmaceutical compositions are sterile, non-pyrogenic and suitable for injection. As used herein, a "therapeutically effective amount" refers to that amount of antibody which provides a therapeutic effect for a given condition and administration regimen. In the present invention, a therapeutic effect is induction of apoptosis in tumors characterized by Her2 overexpression. The antibodies are preferably those which will not elicit an immune response when administered to a patient in need of treatment. In one embodiment, the antibodies are human or humanized antibodies which may be prepared using procedures known to one skilled in the art.

The following examples are offered to more fully illustrate the invention, but are not construed as limiting the scope thereof.

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EXAMPLE 1

Production of Her2, Her3 and Her4 Extracellular Domains

5   Cloning and Expression of Her2 Extracellular Doman (Soluble Her2)

A soluble Her2 receptor construct was made as follows. A cDNA clone of full-length Her2 in plasmid pLJ (pLJ is described in Korman et al. Proc. Natl. Acad. Sci. USA 84, 2150-2054 (1987) was digested with AatII which cuts once at position 2107 of the Her2 DNA sequence (numbering as in Coussens et al., supra). The linearized plasmid was cut with HindIII, which cuts 5' of the initiating ATG, to release an approximately 2200 bp fragment. This fragment was cloned into pDSR $\alpha$ 2 5'-HindIII to 3'SalI using an oligonucleotide linker (AatII-SalI) which contained an in-frame FLAG sequence and a translation termination codon. The resulting cDNA encodes for the Her2 extracellular ligand binding domain spanning amino acid residues 1-653 fused to the FLAG sequence (underlined):

Thr Ser Asp Tyr Lys Asp Asp Asp Lys STOP

25   This construct was transfected into CHO $\delta$ - cells. Single cell clones were derived from the selected population and assayed for soluble Her2 production by both anti-FLAG and anti-Her2 Western blot analysis.

30   Cloning and Expression of Her3 Extracellular Domain (Soluble Her3)

A cDNA clone containing the full-length Her3 sequence was isolated by screening a cDNA library prepared from the SKBR3 (American Type Tissue

35   Collection, Bethesda, MD, ATCC HTB 30). The library was divided into 49 pools each containing 3200 individual

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clones. Plasmid DNA from each pool was transferred to nitrocellulose filter (Schleicher & Schuell, Keene, NH). Two oligonucleotide probes corresponding to the 3'-end of the Her-3 sequences

5

5' CCACCCGGGTTAGAGGAAGA 3' and  
5'-AGTTACGTTCTCTGGGCATTA-3'

were synthesized and used to screen the SKBR3 cDNA  
10 library filters. The hybridization was done in 6 X SSC,  
50mM sodium-phosphate (pH 6.8), 0.1% sodium-  
pyrophosphate, 0.2% SDS, 2mM EDTA, 2 X Denhardt's  
solution and 50 mg/ml salmon sperm DNA at 42° C for 16  
hours. The filters were then washed at 42° C with 2 X  
15 SSC, 0.2% SDS, 2mM EDTA for 30 minutes and exposed to X-  
ray films at -80° C for 2 days.

Ten pools that gave positive signals in  
hybridization were further characterized by polymerase  
chain reaction (PCR) analysis to determine if they also  
20 encode the Her3 5' sequence. Plasmid DNA from each pool  
was amplified with oligonucleotide primers corresponding  
to the 5'-end of the Her-3 sequences:

25 5' CATGAGGGCGAACGACGCTCTG 3' and  
5' CTTGGTCAATGTCTGGCAGTC 3'

PCR was carried out for 40 cycles; with each cycle at  
94° C, 30 seconds; 50° C, 30 seconds; and 72° C, 30  
seconds. Three of the ten pools contained a full length  
30 Her3 cDNA. The three pools were rescreened by the  
colony hybridization procedure of Lin et al (Gene 44,  
201-209. (1986)) until single clones were obtained from  
each pool. cDNA sequencing revealed a sequence  
identical to that published (Kraus et al., supra).

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Plasmid pJT2-Her3 was used for PCR amplification of the soluble Her3 domain using the following primers:

5 Sense 5' CGCTCTAGACCACCATGAGGGCGAACGACGCTCTGCA 3'  
Antisense 5' CGCGGATCCGTGACTCACTATGTCAGATGGGTTTGCCGAT  
3'

After digestion with the restriction enzymes XbaI and SalI, the 1.9 kb PCR fragment was subcloned into pDSR $\alpha$ 2 (PCT Application No. WO91/05795) which had been cleaved with XbaI and SalI. The Her3 sequences in the resulting plasmid were confirmed by DNA sequencing. Plasmid pDSR $\alpha$ 2/Her3 was used to transfect CHOD $^{-}$  cells for expression of soluble Her3.

Cloning and Expression of Her4 Extracellular Domain (Soluble Her4)

A full-length Her4 cDNA clone was obtained by screening a human fetal brain cDNA library (Stratagene, San Diego, CA). Two Her4 cDNA probes were prepared by PCR amplification of human brain cDNA (Clontech Laboratories, Inc., Palo Alto, CA). cDNA probe-1 corresponds to the Her4 5'-end sequences encoding amino acid residues 32 to 177 and cDNA probe-2 corresponds to the Her4 3'-end sequences encoding amino acid residues 1137 to 1254. (Plowman et al., supra) Approximately 4 x 10<sup>6</sup> pfu of the human fetal brain cDNA library were screened sequentially with the Her4 5'-end probe and the Her4 3'-end probe. The hybridization solution contained 6 X SSC, 50mM sodium-phosphate (pH 6.8), 0.2% SDS, 2mM EDTA, 0.1% sodium-pyrophosphate, 2 X Denhardt's solution, 50 mg/ml salmon sperm DNA and 50% formamide. Hybridization was at 42° C for 16 hours. The filters were washed at 67° C with 2 X SSC, 0.2% SDS, 2mM EDTA for 60 minutes and then exposed to x-ray films at -80° C

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over night. Autoradiography of the filters showed that 12 clones hybridized to the 5'-end probe and another 5 clones hybridized to the 3'-end probe. Single clones were purified by re-plating, screened by probe 5 hybridizations as described above and positive clones sequenced.

All positive cDNA clones which were sequenced were found to be partial Her4 cDNA clones. The sequences were found to be identical to the published 10 Her4 sequence (Plowman et al. supra) except for a short deletion/replacement in the extracellular domain. Amino acids 626 to 648 of the published Her3 sequence (NGPTSHDCIYYPWTGHSTLPQHA) were replaced by the peptide sequence IGSSIEDCIGLMD. Also, G at amino acid position 15 573 of Plowman's sequence was replaced by D.

As none of the 17 clones contained full length cDNA of Her4, two overlapping clones were fused together to generate a full length Her4 receptor using techniques described in Maniatis et al. (Molecular Cloning: A 20 Laboratory Manual Cold Spring Harbor, New York: Cold Spring Harbor Laboratory, (1982)). One clone encoded Her4 amino acid residues from 1 to 738 and another encoded amino acid residues from 588 to 1298. These two overlapping clones were released from plasmid 25 pBluescriptSK-by restriction enzyme digestions and assembled in plasmid pGEM4 to generate a full length Her4 cDNA.

Soluble Her4 receptor was constructed by PCR amplification of a 700 bp Her4 DNA fragment encoding 30 amino acids 409 to 639 from Her4 full length cDNA. The sequences of the two primers used in this amplification were

5' CCAAACATGACTGACTTCAGTG 3' and  
5' GGCCAATTGCAGGCCGCTTACTAATCCATCAGGCCGATGCAGTCTTC 3'  
35 PCR was carried out for 25 cycles; with each cycle at 94° C, 30 seconds; 55° C, 30 seconds; and 72° C, 30

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seconds. This 700 bp PCR product was purified by agarose gel electrophoresis. Plasmid pGEM4/Her4 was digested with Not I and BstE II to produce two fragments: one containing plasmid pGEM4 and the Her4 5'-end cDNA encoding the extracellular domain of the receptor from amino acid 1 to 420; and a second fragment spanning amino acid 421 of Her4 to the end of the Her4 molecule. These two DNA fragments were separated in agarose gel and the pGEM4/HER4 5'-end fragment was recovered. The 700bp Her4 PCR fragment was digested with BstE II and Not I and was ligated with the pGEM4/HER4 5'-end fragment. The resulting cDNA encodes the Her4 receptor extracellular domain spanning amino acid residues from 1 to 639. The PCR amplified portion was sequenced to confirm that no PCR errors has occurred.

The soluble Her4 cDNA construct was released from plasmid pGEM4, inserted into plasmid pDSRa2 and transfected into CHOD<sup>-</sup> cells using standard techniques (Maniatis et al., *supra*). Single cell clones were derived from the selected population and assayed for soluble Her4 production by BIACore analysis.

Purification of sHer2, sHer3 and sHer4 receptors.

Conditioned media of CHO cells expressing soluble Her2 (sHer2) was concentrated 12.5-fold with a Pellicon tangential flow ultrafiltration device (Amicon) fitted with a 50 K MWCO filter cassette (Filtron Technology), and the concentrate was diafiltered with three volumes of 20 mM potassium phosphate, 100 mM NaCl, pH 6.8. The diafiltered concentrate was mixed with hydroxylapatite (Calbiochem) equilibrated in diafiltration buffer. The unbound fraction was diluted with an equal volume of water and then applied to a Q-Sepharose fast flow column (Pharmacia) equilibrated in 10 mM potassium phosphate, 50 mM NaCl, pH 7.0. The column was eluted with a linear

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gradient from 50-600 mM NaCl. A pool was made from fractions containing >95% sHer2. sHer3 and sHer4 were also purified from conditioned media of CHO cells expressing these proteins in a similar fashion to the procedure 5 described above. Due to its higher pI value, sHer3 was bound to and eluted from a Q-Sepharose column equilibrated in 10 mM potassium phosphate, 50 mM NaCl, pH 7.5.

#### EXAMPLE 2

##### 10 Production of Anti-HER2 Antibodies

Procedures for immunizing animals, preparing fusions and screening hybridomas and purified antibodies were carried out generally as described in Harlow and Lane, 15 Antibodies: A Laboratory Manual. Cold Spring Harbor Laboratory (1988).

##### Enzyme-linked Immunosorbent Assay (EIA).

96-well plates were coated with 2 $\mu$ g/ml sHer2, 2 $\mu$ g/ml sHer3 20 or 2 $\mu$ g/ml sHer4 in a carbonate-bicarbonate buffer. After blocking, hybridoma conditioned medium was added to the plate and incubated for 2 hours. The medium was aspirated and the plates were washed before addition of rabbit-anti-mouse IgG antibody conjugated with horseradish peroxidase (Boehringer Mannheim). After a one hour 25 incubation, the plates were aspirated and washed five times. Bound antibody was detected with ABTS color reagent (Kirkegaard and Perry Labs., Inc.). The extent of antibody binding was determined by monitoring the increase in 30 absorbance at 405 nm.

Cloning and IgG subtype determination. Single cell cloning was done in a 96-well plate using a limiting dilution method. Conditioned media of single cell clones 35 were screened for antibody production using the EIA described above. The strongest antibody producing clones

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were chosen for cell growth expansion, subsequent subtype determination and competition studies.

BIAcore analysis. Purified sHer2, sHer3 or sHer4 were covalently coupled to a sensor chip CM5 via the primary amine group using 40 µl of the receptor in 10 mM Na acetate, pH 4.0 (10 µg receptor per ml). The unreacted groups on the sensor chip were blocked with an injection of 50 µl of 1 M ethanolamine hydrochloride (Pharmacia Biosensor AB). Each analysis cycle consisted of an injection of 40 µl of hybridoma supernatant (or purified mAbs), followed by injection of 10 µl of 10 mM HCl to regenerate the chip. Binding of the mAbs was detected by a change in SPR, measured in resonance units (RU). For most proteins, 1000 RU corresponds to a surface concentration of approximately 1 ng/mm<sup>2</sup>.

Preparation and Screening of Hybridoma Cell Lines. 7 balb/C mice were injected subcutaneously three times at three week intervals with 10 µg of soluble Her2. The protein was emulsified with RIBI adjuvant. Serum titers to Her2 were evaluated at 8 weeks, and the two mice with the highest titers were selected and given a final IV injection of 10 µg of soluble Her2. Three days later, the two mice were euthanized, and spleens removed, disrupted in a Stomacher tissue disintegrator, and filtered, and single cells were recovered. After three washes, the spleen cells were counted, mixed with mouse myeloma cells (SP2/0) in a ratio of 3:1 (spleen:SP2/0) and fused in the presence of 50%PEG (MW 1500). The fused cells were plated in a total of 10 96-well plates at a spleen cell concentration of 1.25X10<sup>5</sup> per well in a medium consisting of DMEM:RPMI (1:1), 10% FBS and 10% ORIGEN. Selection of fused cells was carried out in HAT selection medium. Culture media were screened by EIA for antibodies to Her2 after viable cell colonies occupied approximately 30% of the well.

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Sixty eight positives were identified from 960 wells. Cells from 43 wells were cloned by limiting dilution to produce single-cell colonies. Wells containing single colonies were marked and, when grown to 30% of well area, 5 were assayed for anti-Her2 antibodies by EIA and BIACore. The final number of single cell clones was 26, representing 20 original masterwells.

Based on binding of hybridoma supernatants to sHer2 as assayed by EIA and BIACore, 10 clones were 10 selected for further study.  $5 \times 10^6$  cells from each of the 10 clones were injected into primed balb/C mice, and ascites fluid was collected at approximately 10 days. Immunoglobulins were affinity purified over a protein A MAPS II column (BioRad). The IgG purified antibodies were 15 assayed by EIA for binding to Her2, Her3 and Her4 as described above. The binding capacity was evaluated at 10 ng/ml or 100 $\mu$ g/ml of mAbs. Binding of antibodies to sHer2 was readily apparent at an antibody concentration of 10ng/ml while binding to sHer3 and sHer4 was negligible 20 even at an antibody concentration of 100 $\mu$ g/ml. The data demonstrate that all clones except mab83 bind strongly to sHer2 with no detectable binding to sHer3 and sHer4.

IgG subtypes were determined on hybridoma supernatants using an Isotype Ab-Stat-Kit (Sangstate 25 Medical Corp.) and the results are shown in Table I.

Binding of mAbs to sHer2, sHer3 and sHer4

Binding of mAbs to sHer2 on a BIACore chip was investigated using 10  $\mu$ g/ml mAbs, and evaluated as resonance units (RU). 30 As shown in Table I, two clones (52 and 58) showed greater than 1000 RU, 2 clones (35 and 42B) showed around 700 RU, 2 clones (43A and 74) showed around 300 RU, 2 clones (83 and 97) showed around 100 RU, and 2 clones (29 and 86) were less than 100 RU. The results indicated a wide range of 35 affinity among the ten clones. No detectable binding of anti-sHer2 mAbs to sHer3 and sHer4 was observed. These

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results, along with the EIA data, confirm that the mAbs generated against sHer2 bind specifically to sHER2 with little or no binding to sHer3 and sHer4.

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Table I. Immunological properties of anti-Her2 mAbs

MONO- CLONAL ANTIBODY ID	IGG SUB- TYPE	EPITOPE GROUPING BY	BINDING TO SHER2 BIA CORE RU OF	BINDING TO SHER3 BIA CORE RU OF	BINDING TO SHER4 BIA CORE RU OF	BINDING EIA PLATE O.D. OF	BINDING EIA PLATE O.D. OF	BINDING EIA PLATE O.D. OF	BINDING 10 UG/ML 10 UG/ML 10 NG/ML	BINDING 100 UG/ML 100 UG/ML 100 UG/ML
35	1	G1	781	-5	-15	0.97	0.1	0.11		
42B	1	G2	745	-23	-15	2.35	0.1	0.09		
43A	2A	G2	392	-5	-18	2.25	0.24	0.19		
52	2B	G2	1600	-7	-18	2.45	0.25	0.23		
58	1	G2	1266	2	-17	2.63	0.09	0.1		
74	1	G3	372	15	-13	1.19	0.22	0.19		
29	1	G4	76	0	-20	2.28	0.52	0.35		
83	1	G4	115	-4	-16	0.09	0.37	0.21		
86	1	G4	62	-9	-20	2.31	0.63	0.35		
97	1	G4	109	-4	-17	2.36	0.26	0.16		
						0.09	1.2	0.9		
									Mouse IgG	

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Epitope Competition assay. The epitope specificity of anti-sHer2 mAbs was determined by binding pairs of monoclonal antibodies simultaneously to sHer2 immobilized on a BIACore chip. mAbs directed against different epitopes should bind independently of each other, whereas mAbs directed against closely related epitopes should interfere sterically with each other's binding. The first mAb was injected three times in a volume of 40 µl at a concentration of 10 µg/ml onto the immobilized sHer2 surface. A 40 µl of the second mAb was then injected and the ability to simultaneously bind to the sHer2 was evaluated. The biosensor surface was regenerated by the injection of 10 µl of 50 mM HCl. Binding was also analyzed when the injection sequence of each pair of mAbs was reversed. This analysis divided the mAbs into 4 different groups of epitope specificity, as shown in Table I. No correlation between epitope grouping and phosphorylation activity was apparent except for mAb74, which appears to have a unique epitope from the other mAbs.

#### EXAMPLE 3

##### Characterization of mAb74 Epitope on Her2

The effect of glycosylation on mAb74 interaction with sHer2 was determined as follows. Sixty µg of sHer2 in 20 mM BTP, 40 mM NaCl, pH 7.4, was denatured for five minutes in a boiling water bath in the presence of 0.4% SDS. After denaturation, NP-40 (Boehringer Mannheim) was added to 2% v/v, and the reaction diluted with an equal volume of DI H<sub>2</sub>O before adding 3 units of recombinant N-glycanase (Genzyme). The reaction was allowed to proceed with gentle shaking at 37°C for 20 hrs.

An ECL glycoprotein detection system kit (Amersham Life Science) was used to determine the extent of deglycosylation. 0.25 µg each of sHer2 and deglycosylated

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sHer2 were run on a 4-20% gel (Novex) under nonreducing conditions and then blotted to nitrocellulose (Schleicher & Schuell) for 1 hour at 90 volts in a Bio-Rad mini PROTEAN II apparatus (BioRad) with cooling. After blotting, the 5 membrane was treated with 10 mM sodium metaperiodate for 20 minutes, then 300 nM biotin hydrazide for 60 minutes, both in 100 mM sodium acetate, pH 5.5 at room temperature. After each step, the membrane was washed with three changes of PBS. Nonfat dry milk (Carnation) was added to PBS at a 10 concentration of 5% (w/v) and incubated overnight at 4°C to block nonspecific binding. The membrane was incubated at room temperature with streptavidin horseradish peroxidase conjugated with ECL detection reagents for one minute. The blot was exposed to Hyperfilm-ECL (Amersham Life Science). 15 No protein band was observed in the deglycosylated sample (Figure 1A) indicating complete deglycosylation had occurred.

Intact and deglycosylated sHer2 (25ng each) were loaded and run on a 4-20% gel (Novex) under reducing and 20 nonreducing conditions. The Gel was blotted 1 hr at 90 volts, blocked with 5% nonfat dry milk and detected with 0.4 µg/ml mAb74 followed by 1/5000 anti-mouse conjugated horseradish peroxidase after three 10 min washes in PBS 0.1%, Tween 20. An ECL kit (Amersham Life Science) was 25 used for detection. mAb74 was observed to bind to both glycosylated and deglycosylated sHer2 under nonreducing conditions (Figure 1B). No antibody binding was observed under reducing conditions.

30

#### EXAMPLE 4

##### Dimerization of Her2 by Anti-Her2 Antibodies

Typically, antibodies have two binding sites for antigens, so it may be expected that antibodies which bind 35 receptors can promote receptor dimerization. Size exclusion chromatography (SEC) with light scattering

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detection was used to determine the stoichiometry of anti-Her2 antibody binding to sHer2. The use of SEC with on-line light scattering has advantages over SEC alone for determining the molecular weight or stoichiometry of a protein complex. While the elution position of a protein or complex is indicative of molecular weight using conventional SEC, a light scattering measurement is independent of the elution position of a protein or a complex. In addition, the molecular weight from light scattering reflects only the polypeptide if the extinction coefficient of the polypeptide alone is used in the analysis. The on-line light scattering/size exclusion chromatography system uses three detectors in series: a light scattering detector (Wyatt Minidawn), a refractive index detector (Polymer Laboratories PL-RI), and a UV absorbance monitor at 280 nm (Knauer A293). A Superdex 200 (Pharmacia) SEC column equilibrated with Dulbecco's phosphate-buffered saline (PBS) and a 100  $\mu$ l sample loop were used. The system was operated at a flow rate of 0.5 ml/min. The complexes of anti-sHer2 mAb and sHer2 were made by mixing 55  $\mu$ l of 1.5 mg/ml mAb35, 0.8 mg/ml mAb52, 1.2 mg/ml mAb58, 1.6 mg/ml mAb42, 0.84 mg/ml mAb74, and 0.89 mg/ml mAb83 with 55  $\mu$ l of 2.0, 2.0, 1.3, 2.0, 2.0, and 2.0 mg/ml sHer2, respectively. The complexes of the above mAbs and sHer3 were made in a similar way. 100  $\mu$ l samples of each complex were injected onto a Superdex 200 column and the elution was monitored by light scattering, refractive index and UV absorbance detectors.

For a glycoprotein complex, the molecular weight of its polypeptide is proportional to  $(uv)(LS)/[ep(RI)^2]$  (Takagi J. Chromatogr. 506, 409-446 (1990); Arakawa et al. Arch. Biochem. Biophys. 308, 267-273 (1994); Philo et al. J. Biol. Chem. 269, 27840-27846 (1994) where uv, LS, and RI are the signals from the absorbance, light scattering, and refractive index detectors, respectively, and ep is the extinction coefficient (the absorbance of a 1 mg/ml

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solution for 1 cm pathlength) of the polypeptide. For a complex with a known stoichiometry ( $A_mB_n$ ), its extinction coefficient can be calculated with the equation  $\epsilon_p = (mx\epsilon_A \times M_A + nx\epsilon_B \times M_B) / (mxM_A + nxM_B)$  where  $\epsilon_A$ ,  $\epsilon_B$ ,  $M_A$  and  $M_B$  are  
5 the polypeptide extinction coefficient and molecular weight of either protein A or B.

In order to obtain the molecular weight and stoichiometry of a glycoprotein complex, one must calculate  
10 its extinction coefficient. However, the extinction coefficient of a complex cannot be calculated unless stoichiometry is known. A self-consistent method is used to solve this problem, assuming various possibilities for the stoichiometry of the complex. For each assumed  
15 stoichiometry, an extinction coefficient and corresponding experimental molecular weight is calculated. Finally, the stoichiometry with the best consistency between the experimental and theoretical molecular weight is selected as the correct stoichiometry for the complex. The results  
20 of this method are shown in Table II.

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Table II.  
Binding of mAb to sHer2 determined by SEC/light scattering

Proteins or Complexes	$\epsilon$ L	Experimental $MW \times 10^{-3}$	Theoretical $MW \times 10^{-3}$	Correct Assumption?
$g \cdot cm$				
sHer2	0.85	69		
mAb35	1.4	139		
mAb52	1.4	151		
mAb58	1.4	142		
mAb42b	1.4	136		
mAb74	1.4	145		
mAb83	1.4	141		
<b>Assumption of sHer2-mAb35 Complex Stoichiometry:</b>				
1sHer2:1mAb35	1.24	237	208	No
2 :1	1.14	261	277	Yes
3 :1	1.08	275	346	No
1 :2	1.31	226	347	No
1 :3	1.41	208	486	No
<b>Assumption of sHer2-mAb52 Complex Stoichiometry:</b>				
1sHer2:1mAb52	1.24	252	220	No
2 :1	1.14	275	289	Yes
3 :1	1.08	289	358	No
1 :2	1.31	240	371	No
1 :3	1.41	223	522	No
<b>Assumption of sHer2-mAb58 Complex Stoichiometry</b>				
1sHer2:1mAb58	1.24	252	211	No
2 :1	1.14	272	280	Yes
3 :1	1.08	289	348	No
1 :2	1.31	237	353	No
1 :3	1.41	220	522	No
<b>Assumption of sHer2-mAb42b Complex Stoichiometry</b>				
1sHer2:1mAb42b	1.24	246	205	No
2 :1	1.14	266	274	Yes
3 :1	1.08	281	343	No
1 :2	1.31	232	341	No
1 :3	1.41	214	477	No
<b>Assumption of sHer2-mAb74 Complex Stoichiometry</b>				
1sHer2:1mAb74	1.24	258	214	No
2 :1	1.14	281	283	Yes
3 :1	1.08	298	352	No
1 :2	1.31	245	359	No
1 :3	1.41	228	504	No

\*The molecular weights (MW) in the table reflect  
5 polypeptide only.

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The experimental molecular weights (excluding carbohydrate) for the complexes are most consistent with the theoretical values assuming 2 sHer2 per 1 mAb for each of the 5 mAbs tested. This proves that these antibodies could dimerize 5 Her2 expressed on the cell surface. However, since the sHer2 and mAbs were mixed at 2:1, the observed results do not exclude the possibility of 1 sHer2:1 mAb complex formation when the mAb is present in excess. No complex was observed for sHer2 and mAb83 mixture. This may be 10 caused by weak binding and complex dissociation during the chromatographic procedure. The samples containing sHer2 mAb at a 2:1 molar ratio eluted as a single peak, suggesting formation of 2 sHer2:1 mAb complex without dissociation during elution.

15 In order to verify that these antibodies do not dimerize Her3, similar experiments were done using mixtures of mAbs and sHer3. No complexes between sHer3 and any of the mAbs were detected.

20

#### EXAMPLE 5

##### Receptor Phosphorylation by Anti-Her2 Antibodies

Adherent cells (SKBR3 or MDAMB453) were grown in 48 well plates and washed with DMEM 2-3 times. Suspension 25 cells (32D, Her2/32D, HEG/32D) were pelleted by centrifugation and washed with PBS. HEG/32D is a cell line transfected with a chimeric Her2/EGF receptor (HEG) having an extracellular domain from Her2 spanning amino acid residues 1-653 and intracellular and transmembrane domains 30 from EGF receptor spanning amino acid residues 646-1210. mAb solution or control ligand solution was added to the well or to the pelleted tube and incubated for 5 min at 37°C. The solution was removed and the cells were solubilized with SDS sample buffer. The samples were 35 subjected to SDS-PAGE followed by Western blotting and probing with anti-phosphotyrosine.

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Twelve clones of anti-sHer2 mAbs were tested for stimulation of receptor tyrosine phosphorylation in SKBR3 cells. As shown in Figure 2-a, mAb74, 52, and 83 strongly stimulated the tyrosine phosphorylation of 180-185 kDa proteins in SKBR3 cells in which both Her2 and Her3 were identified. The phosphorylation was dose dependent (Figure 2-b). As shown in Figure 3, the phosphorylation of SKBR3 cells by mAb 74, 52 and 83 was inhibited with sHer2. To determine which receptor is phosphorylated, Her2 and Her3 were immunoprecipitated from SKBR3, and Her2, Her3 and Her4 were immunoprecipitated from MDAMB453 after mAb incubation and analyzed by Western blots probed with anti-phosphotyrosine. Her2 and Her3 in SKBR3 or Her2, Her3 and Her4 in MDAMB453 were all tyrosine phosphorylated.

A similar assay has been done with transfected cell lines, Her2/CHO and Her2/32D, to study the direct interaction of mAb and Her2. mAbs 52, 74 and 83 failed to stimulate phosphorylation of Her2 in Her2/CHO and Her2/32D transfected cells (Figure 4 shows data for Her2/32D cells only). By contrast, the Her2/EGF chimeric receptor was phosphorylated in HEG/32D (Figure 4). A subsequent experiment was performed using a Her2/32D transfectant which expressed Her2 at levels comparable to those of the HEG chimeric receptor shown in Figure 4. Under these conditions, mAb74 stimulates Her2 phosphorylation in Her2/32D cells. The results suggest that mAb74 activates Her2 kinase by homodimerization in Her2/32D cells but may activate by heterodimerization in SKBR3 cells.

30

#### EXAMPLE 6

##### Cell Morphologic Change and Apoptosis Induced by anti-Her2 Antibodies

35        Cell morphologic change. Cells were seeded in 5 cm dishes to about 20% confluence and mAbs added after 18

- 30 -

hr. After 5 days, cells were observed with light microscopy, photographed, and counted.

Her2/ MCF7 cells were incubated with 250 nM mAb42b, mAb83 and mAb74. After 5 days incubation, mAb74 caused extensive cell death and a dramatic cell morphology change, primarily elongation of the cell, as shown in Figure 5. mAb83 caused a moderate cell morphology change and 42b resulted in little change. The viable cell number after mAb74 incubation with Her2/MCF7 cells for five days was only 36% of the control done without mAb incubation. mAb74 also induced cell morphological changes in MDAMB43 cells (Figure 5F).

Cell apoptosis. Cells were seeded in 8-well Chamber Slide (Nunc) to about 60-70% confluency and after 18 hr, culture media was changed to 1% FBS-containing media with or without mAb. On day one, cells were fixed with 4% neutral-buffered formalin (NBF) followed by three washes with PBS. After cells were dried, apoptosis was detected using a modified TUNEL method. TUNEL detects 3'-OH DNA ends generated by DNA fragmentation by labeling the ends with digoxigenin-conjugated dUTP using terminal deoxynucleotidyl transferal and then incubating with horseradish peroxidase (HRP)-conjugated anti-digoxigenin. Bound HRP was detected with the substrate, 3-amino-9-ethylcarbazole (Sigma). Most of the reagents were used from Apop Tag *in situ* apoptosis detection kit (Oncor). HRP-conjugated antibodies were from Boehringer Mannheim.

We found that mAb74 has the strongest effect on receptor tyrosine phosphorylation (Fig. 1A), cell morphology change (Fig. 5) and cell death. To clarify the mechanism of the cell death caused by mAb74, we examined apoptosis by a modified TUNEL method. As shown in Figure 6, cells incubated with mAb74 for one day showed apoptosis as detected by red color using the TUNEL method, while incubation with mAb42b was barely apoptotic in MDAMB453 and

- 31 -

Her2/MCF7 (MCF7 cells transfected with full-length Her2). The number of apoptotic cells induced by 50 nM mAb74 was about 10% of the number induced by 500 nM mAb74, indicating that apoptosis by mAb74 is dose dependent (Figure 6).

5 mAb74 also induced apoptosis in Her2/MCF7 cells. After 5 days of incubation with mAb74, live cells were still present in culture but no apoptosis could be detected suggesting that apoptotic cells were detached and live cells were not undergoing an apoptotic process. The  
10 surviving cells had undergone morphological changes such as those seen in Figure 5.

\* \* \*

15 While the invention has been described in what is considered to be its preferred embodiments, it is not to be limited to the disclosed embodiments, but on the contrary, is intended to cover various modifications and equivalents included within the  
20 spirit and scope of the appended claims, which scope is to be accorded the broadest interpretation so as to encompass all such modifications and equivalents.

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SEQUENCE LISTING

(1) GENERAL INFORMATION:

(i) APPLICANT: AMGEN INC.

(ii) TITLE OF INVENTION: Antibody-Induced Apoptosis

(iii) NUMBER OF SEQUENCES: 9

(iv) CORRESPONDENCE ADDRESS:

(A) ADDRESSEE: Amgen Inc.  
(B) STREET: 1840 Dehavilland Drive  
(C) CITY: Thousand Oaks  
(D) STATE: California  
(E) COUNTRY: U.S.A.  
(F) ZIP: 91230-1789

(v) COMPUTER READABLE FORM:

(A) MEDIUM TYPE: Floppy disk  
(B) COMPUTER: IBM PC compatible  
(C) OPERATING SYSTEM: PC-DOS/MS-DOS  
(D) SOFTWARE: PatentIn Release #1.0, Version #1.30

(vi) CURRENT APPLICATION DATA:

(A) APPLICATION NUMBER:  
(B) FILING DATE:  
(C) CLASSIFICATION:

(viii) ATTORNEY/AGENT INFORMATION:

(A) NAME: Winter Ph.D., Robert B.  
(C) REFERENCE/DOCKET NUMBER: A-377

(2) INFORMATION FOR SEQ ID NO:1:

(i) SEQUENCE CHARACTERISTICS:

(A) LENGTH: 10 amino acids  
(B) TYPE: amino acid  
(C) STRANDEDNESS: single  
(D) TOPOLOGY: linear

(ii) MOLECULE TYPE: protein

(xi) SEQUENCE DESCRIPTION: SEQ ID NO:1:

Thr Ser Asp Tyr Lys Asp Asp Asp Asp Lys  
1 5 10

- 33 -

(2) INFORMATION FOR SEQ ID NO:2:

- (i) SEQUENCE CHARACTERISTICS:  
(A) LENGTH: 20 base pairs  
(B) TYPE: nucleic acid  
(C) STRANDEDNESS: single  
(D) TOPOLOGY: linear

(ii) MOLECULE TYPE: cDNA

(xi) SEQUENCE DESCRIPTION: SEQ ID NO:2:

CCACCCGGGT TAGAGGAAGA

20

(2) INFORMATION FOR SEQ ID NO:3:

- (i) SEQUENCE CHARACTERISTICS:  
(A) LENGTH: 21 base pairs  
(B) TYPE: nucleic acid  
(C) STRANDEDNESS: single  
(D) TOPOLOGY: linear

(ii) MOLECULE TYPE: cDNA

(xi) SEQUENCE DESCRIPTION: SEQ ID NO:3:

AGTTACGTTC TCTGGGCATT A

21

(2) INFORMATION FOR SEQ ID NO:4:

- (i) SEQUENCE CHARACTERISTICS:  
(A) LENGTH: 22 base pairs  
(B) TYPE: nucleic acid  
(C) STRANDEDNESS: single  
(D) TOPOLOGY: linear

(ii) MOLECULE TYPE: cDNA

(xi) SEQUENCE DESCRIPTION: SEQ ID NO:4:

CATGAGGGCG AACGACGCTC TG

22

(2) INFORMATION FOR SEQ ID NO:5:

- (i) SEQUENCE CHARACTERISTICS:  
(A) LENGTH: 21 base pairs  
(B) TYPE: nucleic acid  
(C) STRANDEDNESS: single  
(D) TOPOLOGY: linear

- 34 -

(ii) MOLECULE TYPE: cDNA

(xi) SEQUENCE DESCRIPTION: SEQ ID NO:5:

CTTGGTCAAT GTCTGGCAGT C

21

(2) INFORMATION FOR SEQ ID NO:6:

(i) SEQUENCE CHARACTERISTICS:

- (A) LENGTH: 37 base pairs
- (B) TYPE: nucleic acid
- (C) STRANDEDNESS: single
- (D) TOPOLOGY: linear

(ii) MOLECULE TYPE: cDNA

(xi) SEQUENCE DESCRIPTION: SEQ ID NO:6:

CGCTCTAGAC CACCATGAGG GCGAACGACG CTCTGCA

37

(2) INFORMATION FOR SEQ ID NO:7:

(i) SEQUENCE CHARACTERISTICS:

- (A) LENGTH: 42 base pairs
- (B) TYPE: nucleic acid
- (C) STRANDEDNESS: single
- (D) TOPOLOGY: linear

(ii) MOLECULE TYPE: cDNA

(xi) SEQUENCE DESCRIPTION: SEQ ID NO:7:

CGCGGATCCG TCGACTCACT ATGTCAGATG GGTTTGCCG AT

42

(2) INFORMATION FOR SEQ ID NO:8:

(i) SEQUENCE CHARACTERISTICS:

- (A) LENGTH: 22 base pairs
- (B) TYPE: nucleic acid
- (C) STRANDEDNESS: single
- (D) TOPOLOGY: linear

(ii) MOLECULE TYPE: cDNA

- 35 -

(xi) SEQUENCE DESCRIPTION: SEQ ID NO:8:

CCAAACATGA CTGACTTCAG TG

22

(2) INFORMATION FOR SEQ ID NO:9:

(i) SEQUENCE CHARACTERISTICS:

- (A) LENGTH: 46 base pairs
- (B) TYPE: nucleic acid
- (C) STRANDEDNESS: single
- (D) TOPOLOGY: linear

(ii) MOLECULE TYPE: cDNA

(xi) SEQUENCE DESCRIPTION: SEQ ID NO:9:

GGCCAATTGC GGCGCTTAC TAATCCATCA GGCGATGCA GTCTTC

46

- 36 -

CLAIMS:

5           1. An antibody or fragment thereof which induces apoptosis in cells expressing Her2.

10          2. The antibody of Claim 1 which recognizes an epitope on a Her2 polypeptide which is recognized by the monoclonal antibody produced by the hybridoma cell line ATCC No. HB-12078

15          3. The antibody of Claim 1 which is a monoclonal antibody.

4. The antibody of Claim 1 which is a humanized antibody.

20          5. The antibody of Claim 1 which is a human antibody.

6. A hybridoma cell line capable of producing the antibody of Claim 3.

25          7. The antibody of Claim 1 wherein the fragment is a F(ab) or Fab' fragment.

8. An antibody produced by the hybridoma cell line ATCC No. HB-12078

30          9. Hybridoma cell line ATCC No. HB-12078.

10. The antibody of Claim 1 wherein the Her2 expressing cells are tumor cells.

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- 37 -

11. The tumor cells of Claim 10 which are derived from breast, ovarian, prostate, gastric and colorectal cancers.

5 12. A method for inducing apoptosis in Her2 expressing cells comprising administering an amount of the antibody of Claim 1 sufficient to induce apoptosis.

10 13. The method of Claim 12 wherein the cells are cancer cells.

14. A method of treating cancer in a patient comprising administering an amount of an antibody of Claim 1 sufficient to induce apoptosis.

15 15. A pharmaceutical composition comprising an amount of an antibody of Claim 1 sufficient to induce apoptosis in a mixture with a pharmaceutically acceptable adjuvant.

20 16. The composition of Claim 15 wherein the antibody is a monoclonal antibody.

25 17. The composition of Claim 15 wherein the antibody is a humanized antibody.

18. The composition of Claim 15 wherein the antibody is a human antibody.

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FIG. 1A

**SUBSTITUTE SHEET (RULE 26)**

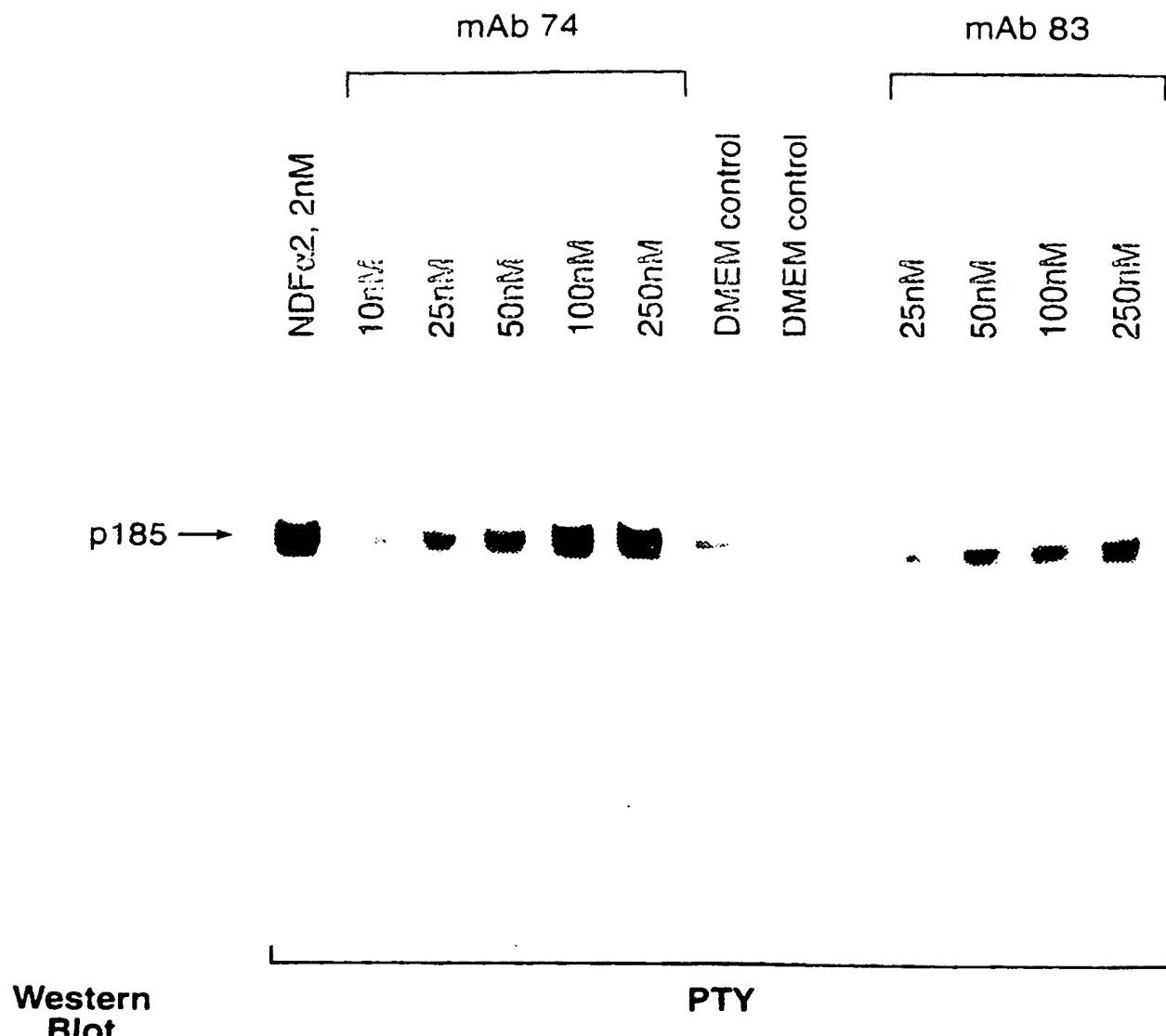
2 / 1 1

**SKBR3**

NDF $\alpha$ 2  
mAb 42b  
mAb 97  
mAb 86  
mAb 83  
mAb 80  
mAb 74  
mAb 73  
mAb 58  
mAb 52  
mAb 43  
mAb 35  
mAb 29  
DMEM

**Western  
Blot****PTY****FIG.2A****SUBSTITUTE SHEET (RULE 26)**

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**SKBR3****FIG. 2B****SUBSTITUTE SHEET (RULE 26)**

4 / 1 1

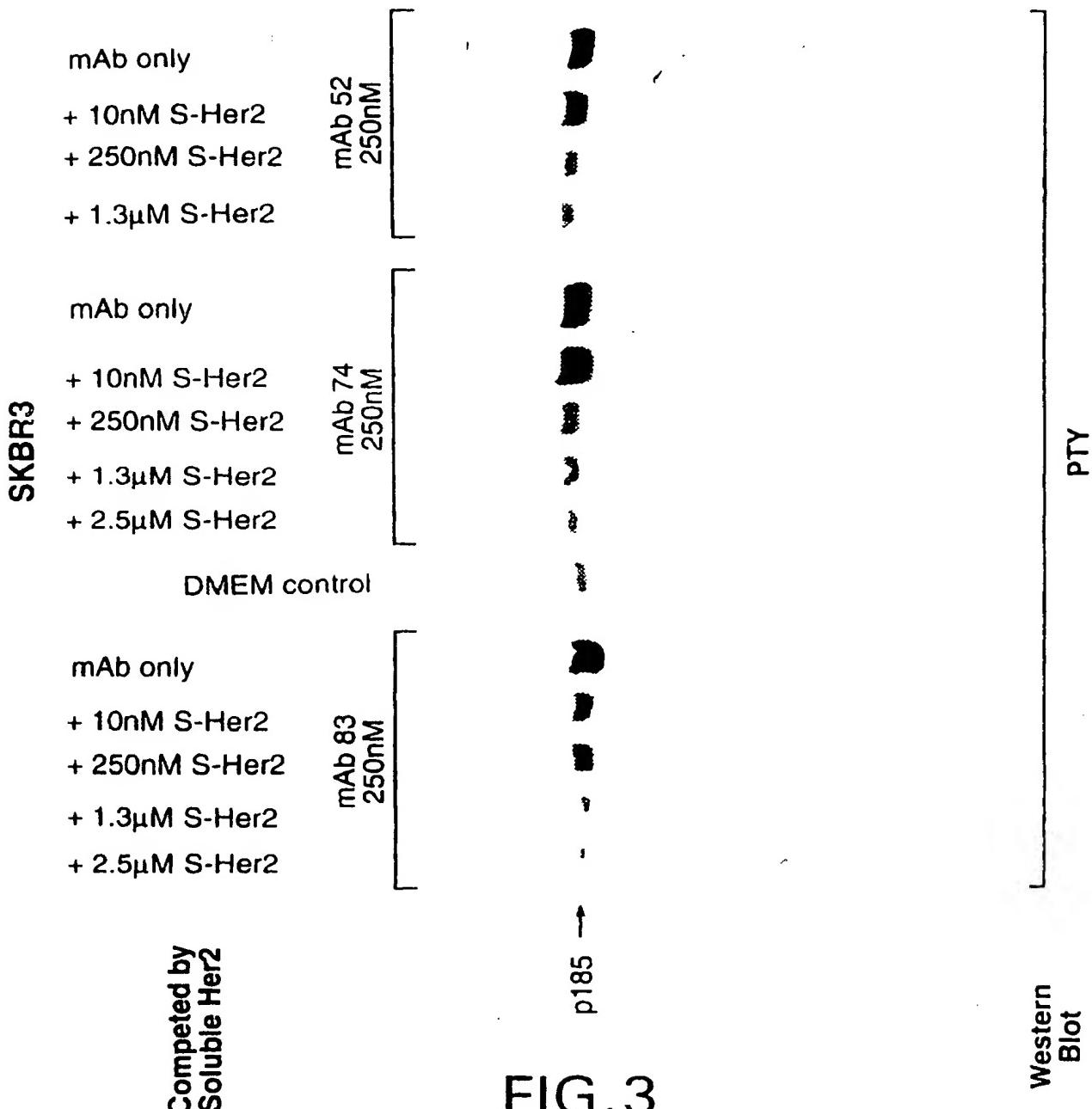
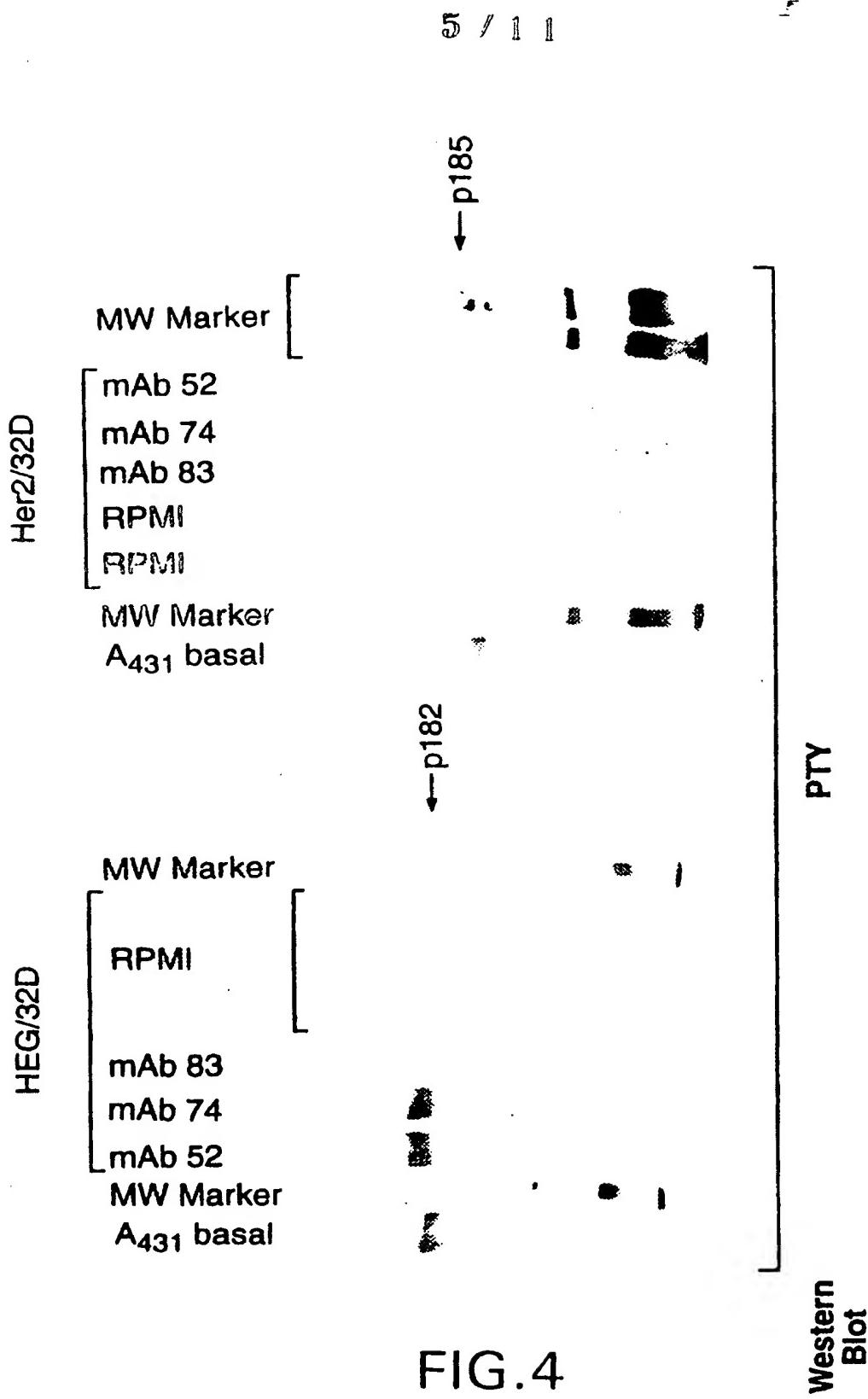


FIG. 3

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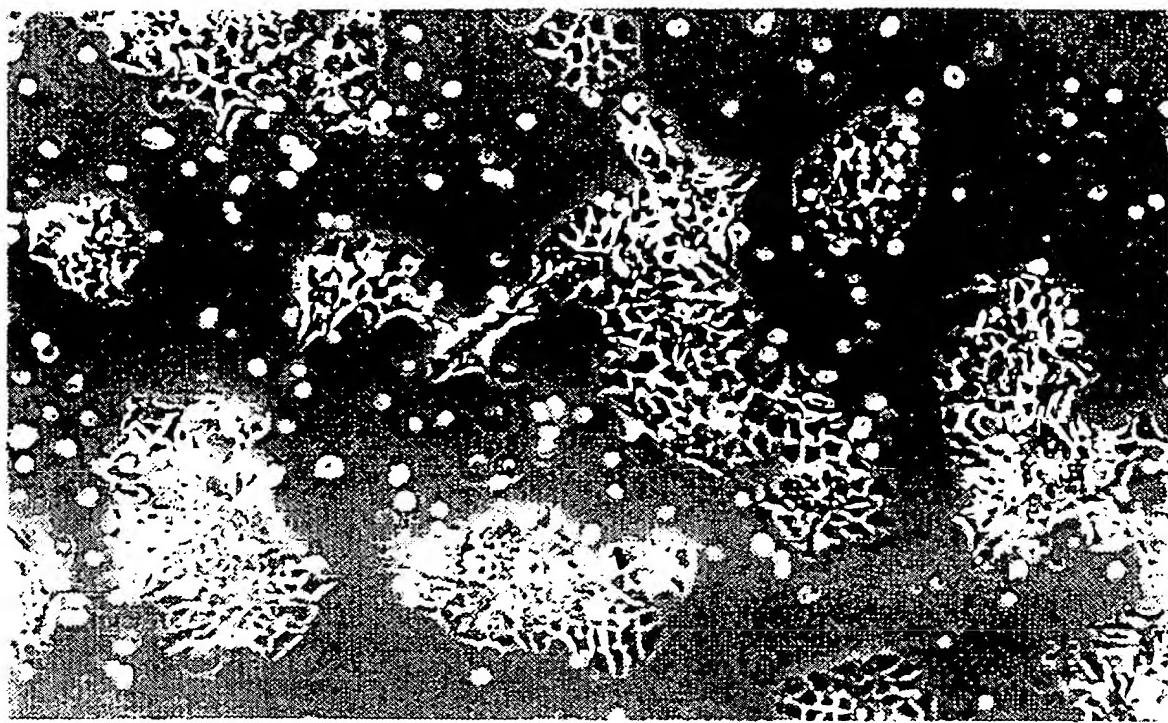


FIG.5A

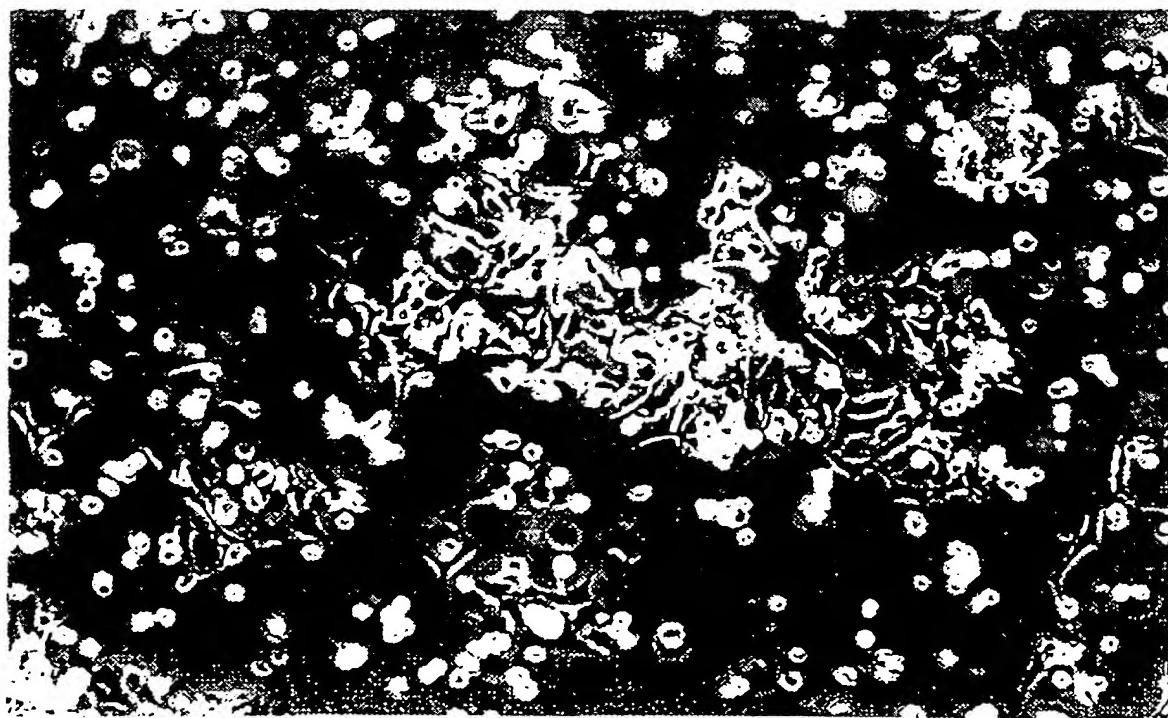


FIG.5B

SUBSTITUTE SHEET (RULE 26)

7 / 1 1

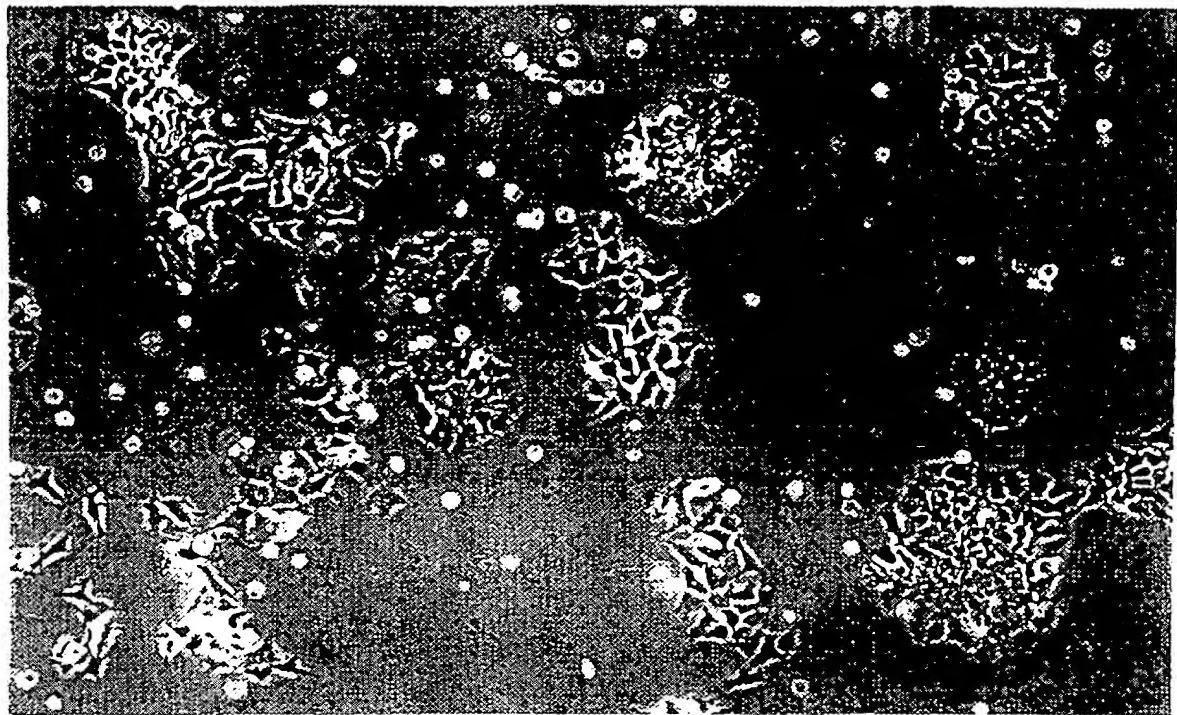


FIG.5C

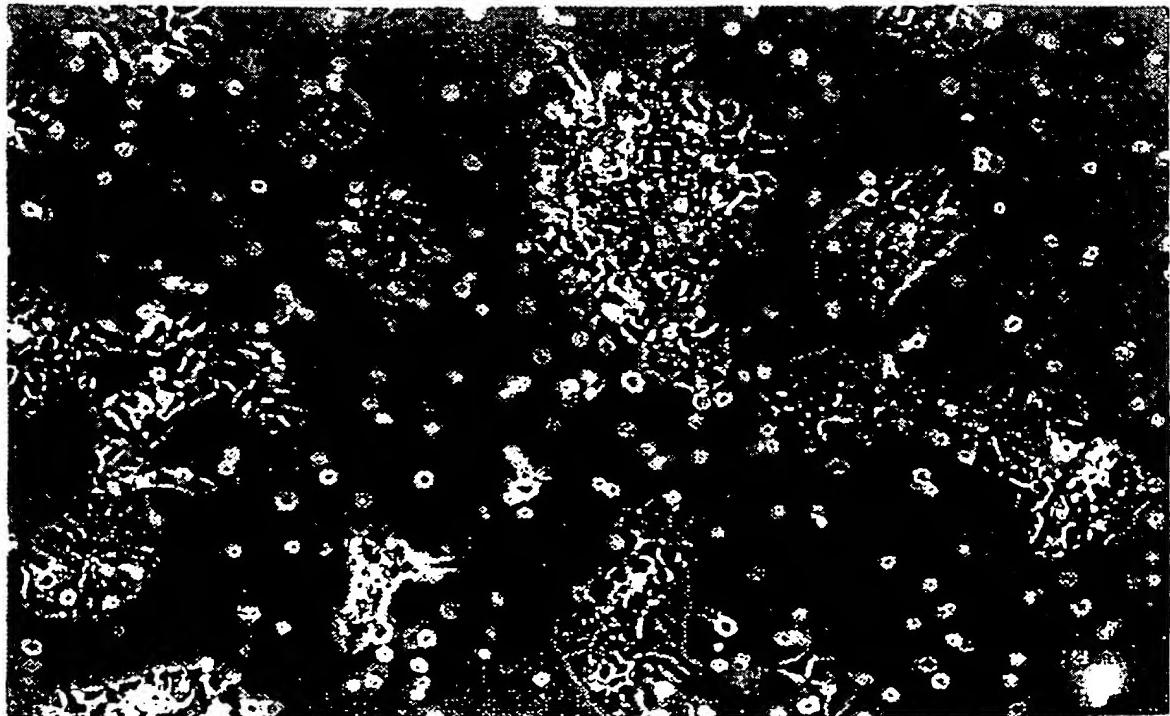


FIG.5D

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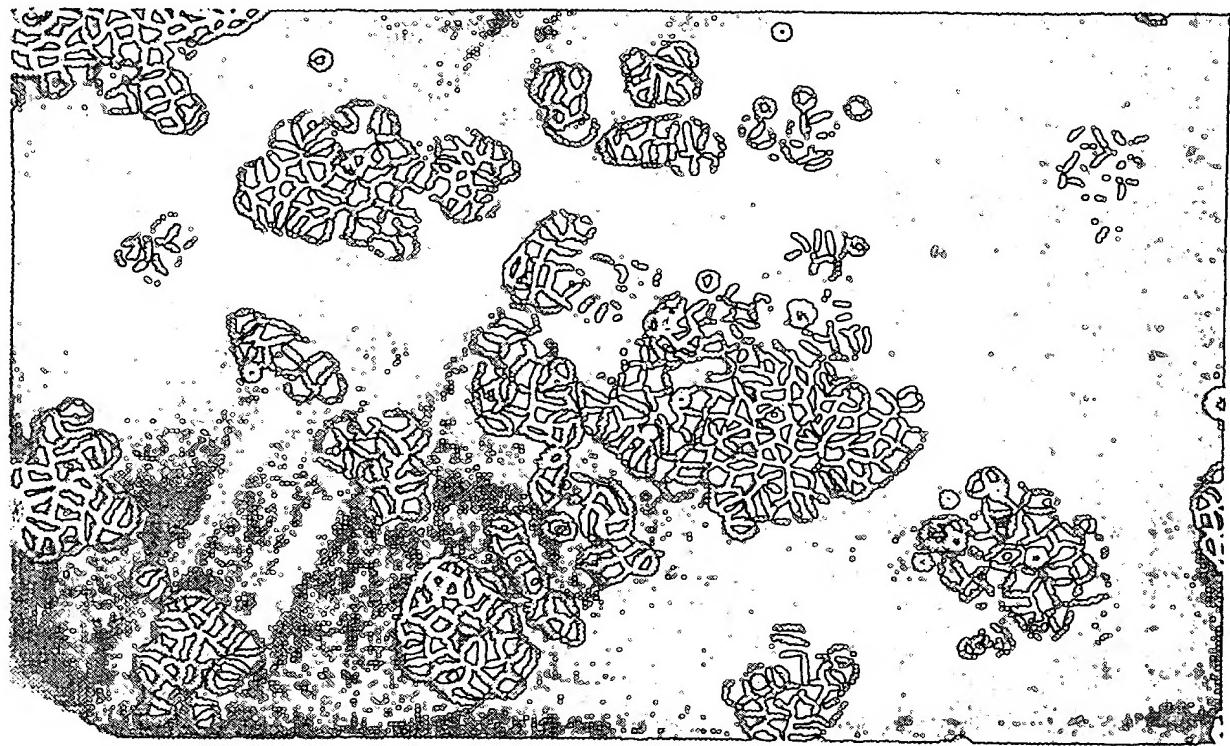


FIG.5E

FIG.5F  
SUBSTITUTE SHEET (RULE 26)

9 / 1 1

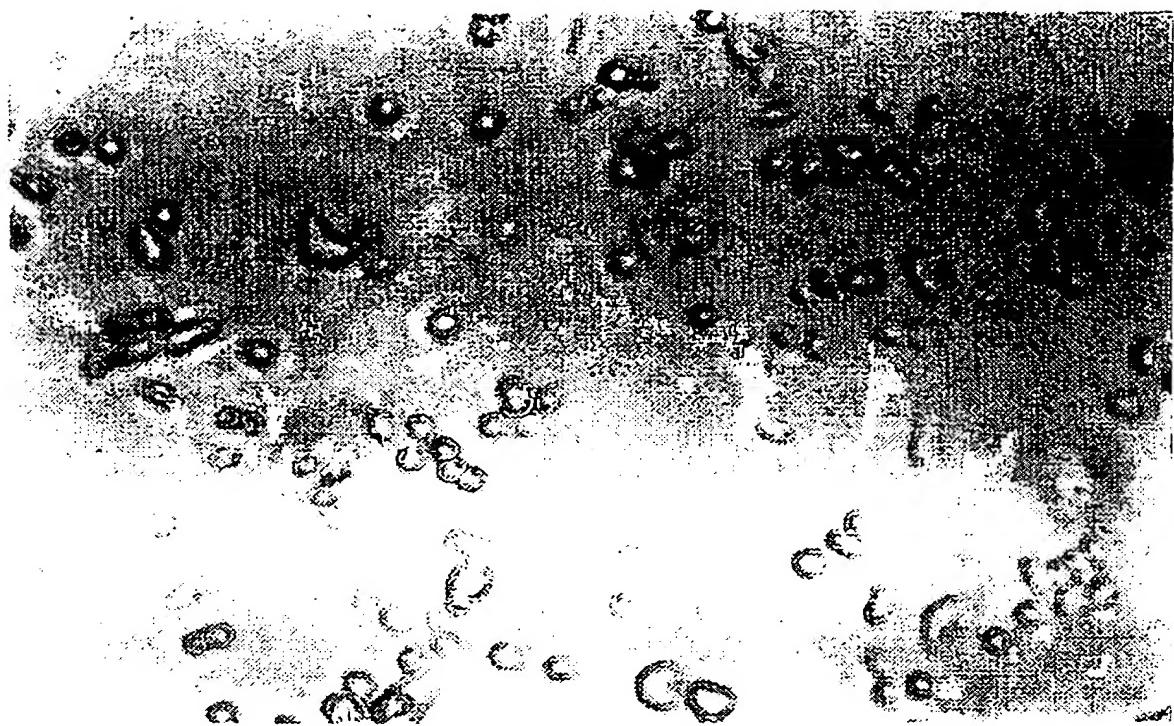


FIG.6A

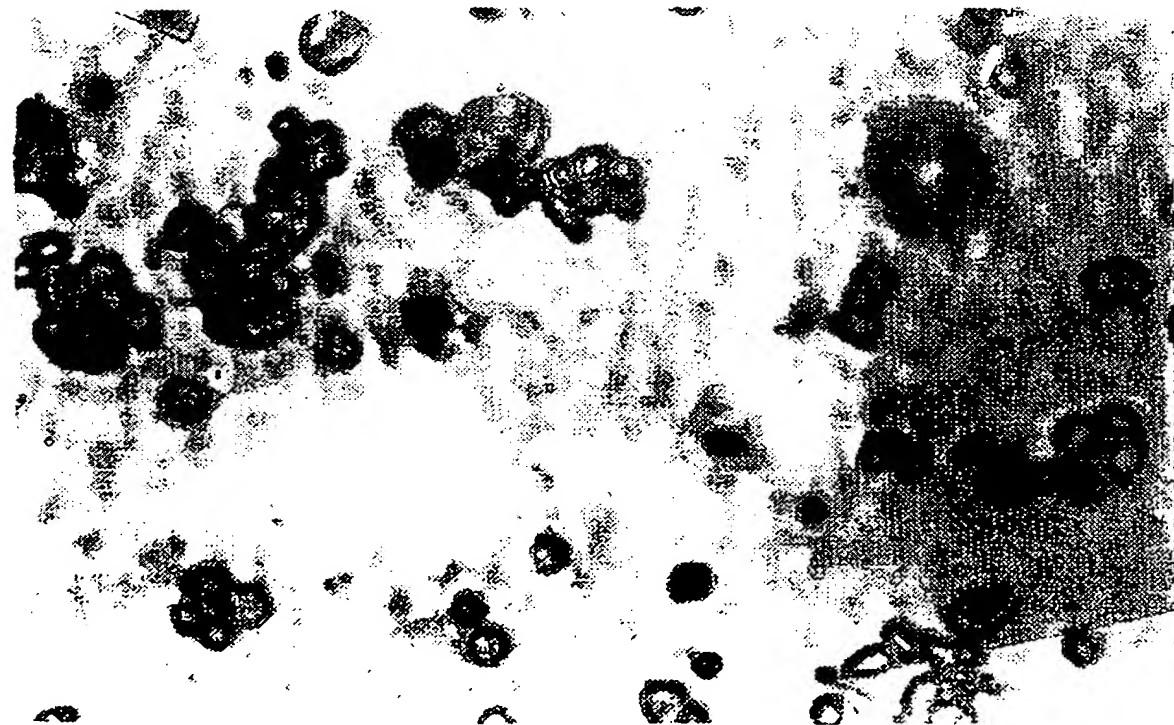


FIG.6B  
SUBSTITUTE SHEET (RULE 26)

10 / 11

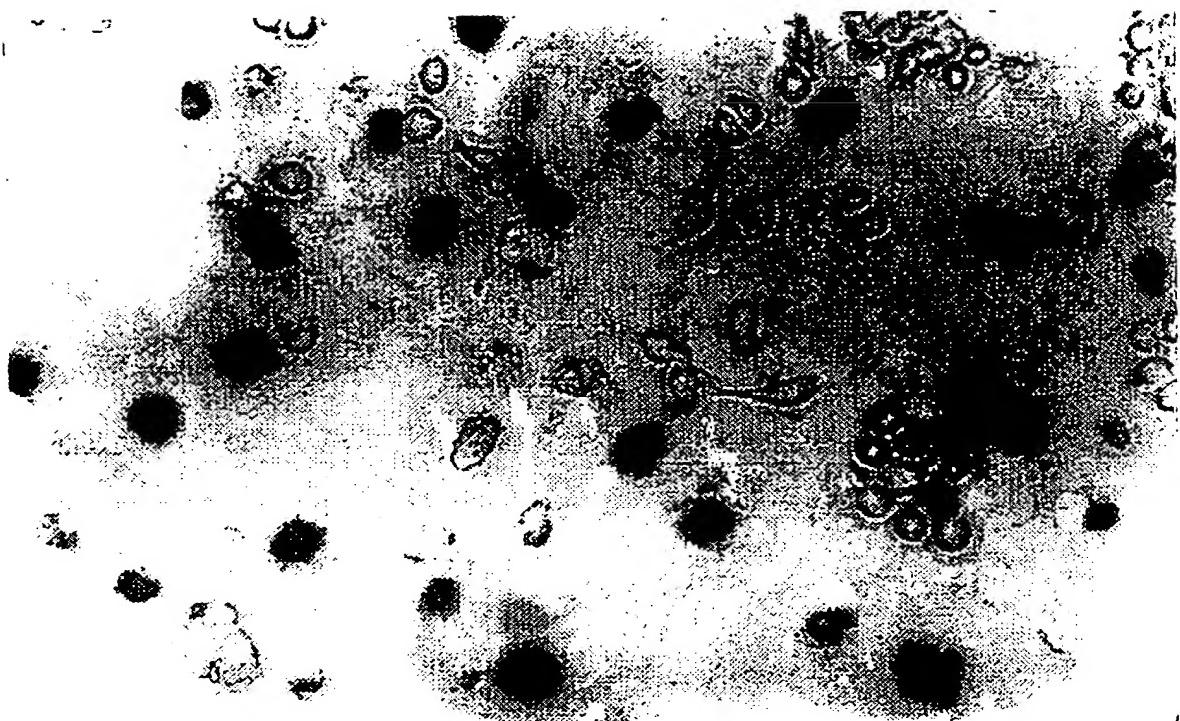


FIG.6C

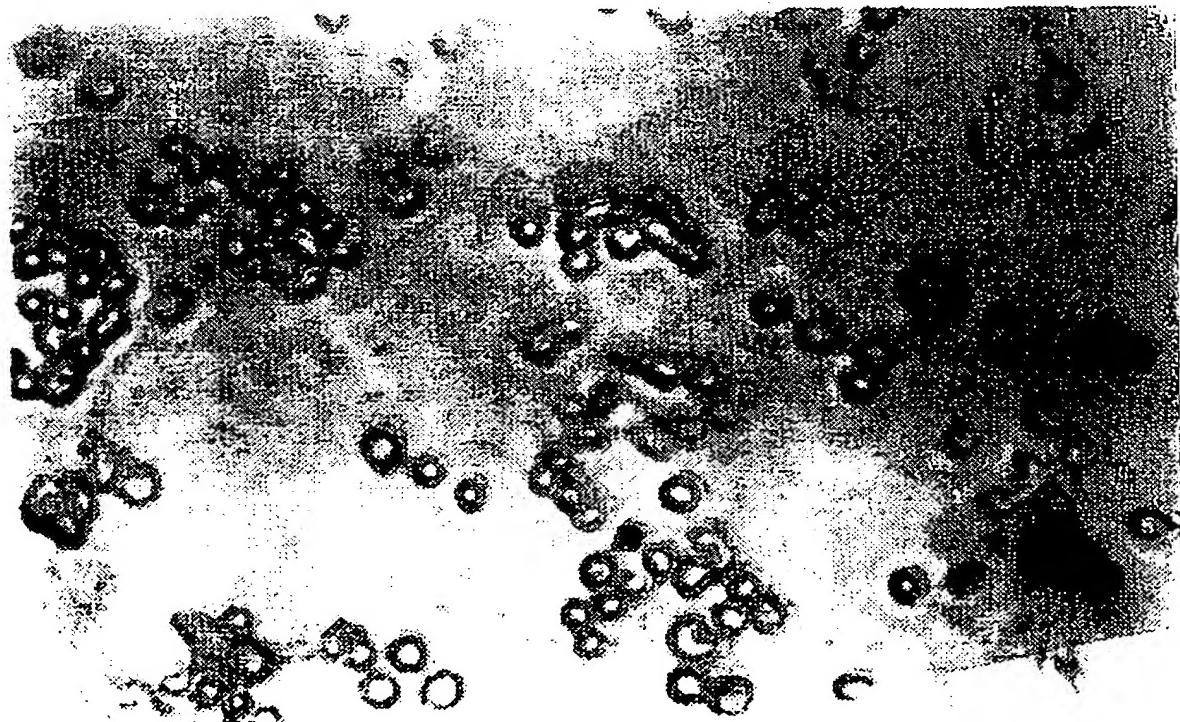


FIG.6D

SUBSTITUTE SHEET (RULE 26)

11/11

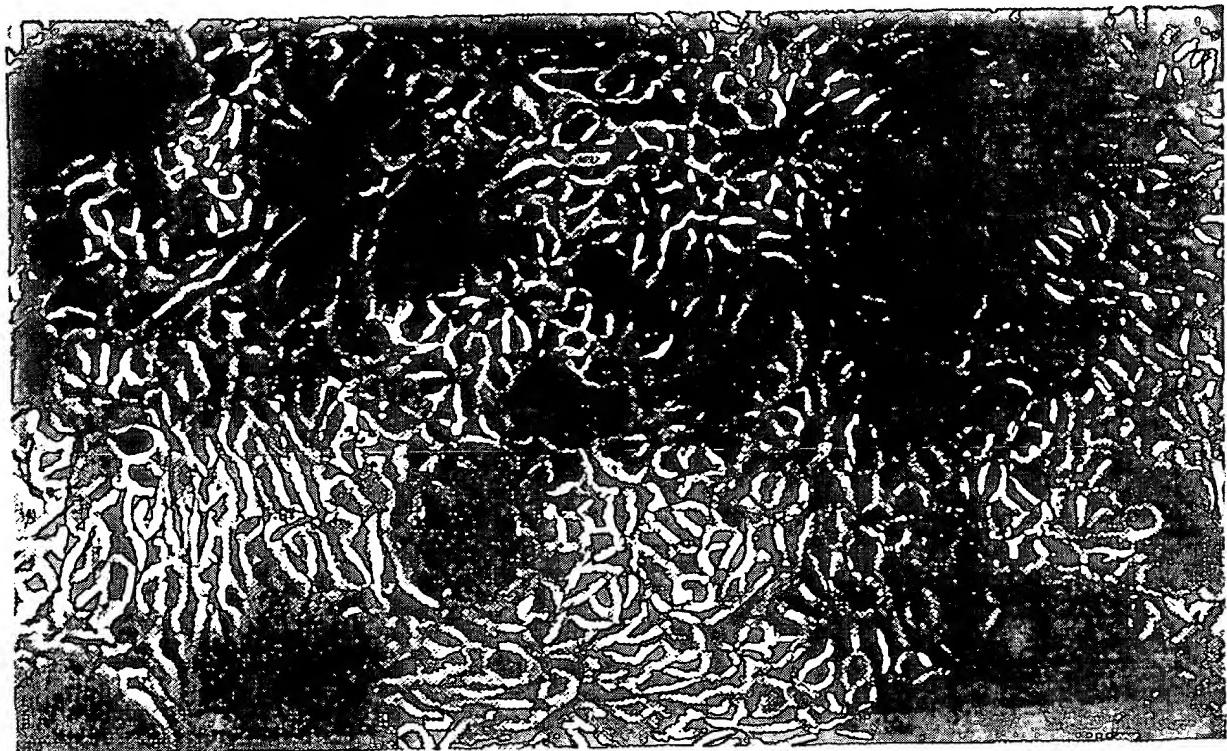


FIG.6E

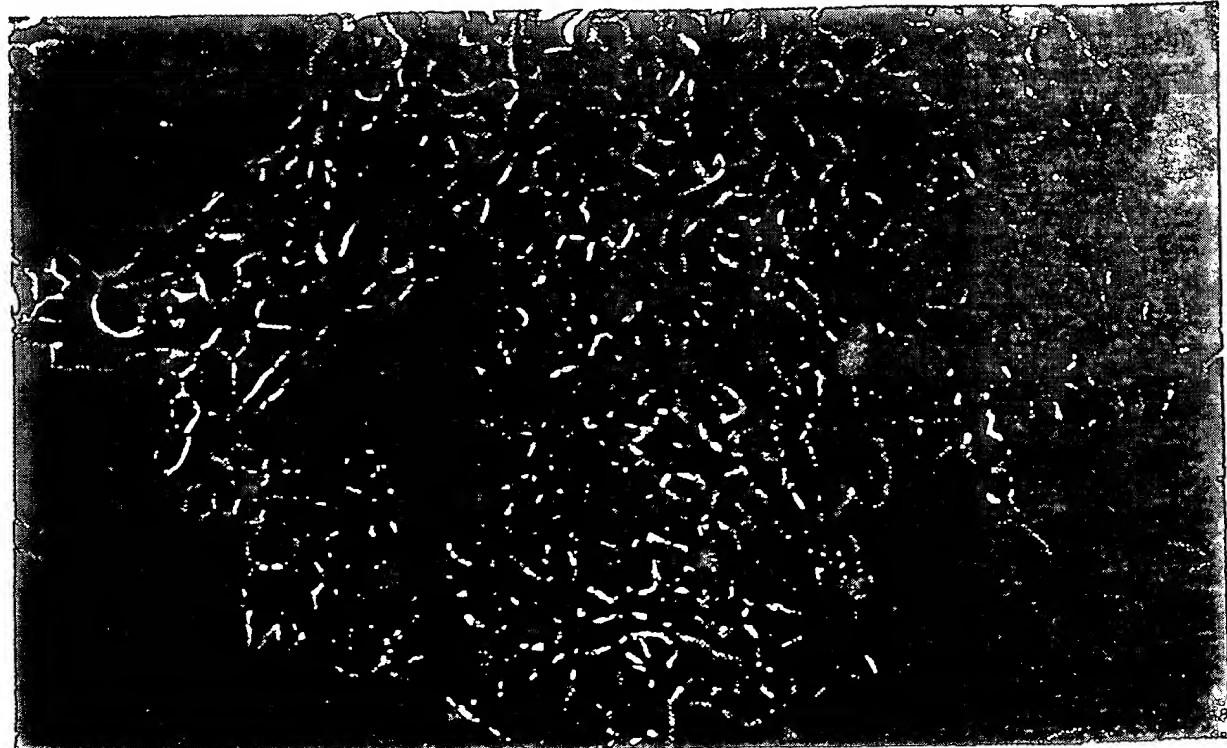


FIG.6F  
SUBSTITUTE SHEET (RULE 26)

## INTERNATIONAL SEARCH REPORT

Intel. Int'l Application No  
PCT/US 96/19289

A. CLASSIFICATION OF SUBJECT MATTER  
IPC 6 C07K16/32 C07K16/46 C12N5/20 C12N5/10 A61K39/395

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)  
IPC 6 C07K C12N A61K

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	<p>THE JOURNAL OF INVESTIGATIVE MEDICINE, vol. 32, no. suppl. 2, April 1995, THOROFARE, NJ, USA, page 328A XP000645038</p> <p>J. DESHANE ET AL.: "Intracellular antibody knockout of the erbB2 oncoprotein achieves targeted eradication of tumor targets by induction of apoptosis." see abstract in the middle of the right-hand column</p> <p>---</p> <p>-/-</p>	1,3-7, 10-18

Further documents are listed in the continuation of box C.

Patent family members are listed in annex.

## \* Special categories of cited documents :

- \*'A' document defining the general state of the art which is not considered to be of particular relevance
- \*'E' earlier document but published on or after the international filing date
- \*'L' document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- \*'O' document referring to an oral disclosure, use, exhibition or other means
- \*'P' document published prior to the international filing date but later than the priority date claimed

\*'T' later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

\*'X' document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

\*'Y' document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

\*& document member of the same patent family

1

Date of the actual completion of the international search

19 March 1997

Date of mailing of the international search report

26.03.97

## Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2  
NL - 2280 HV Rijswijk  
Tel. (+ 31-70) 340-2040, Tx. 31 651 epo nl.  
Fax (+ 31-70) 340-3016

## Authorized officer

Nooij, F

## INTERNATIONAL SEARCH REPORT

International Application No

PCT/US 96/19289

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	CANCER GENE THERAPY, vol. 1, no. 4, December 1994, pages 333-334, XP000645029 J. GRIM ET AL.: "Induction of apoptotic cell death in erbB-2 overexpressing tumor cells of diverse histologic subtypes mediated by intracellular localization of an anti-erbB-2 sFv." see V-100 ---	1,3-7, 10-18
X	GENE THERAPY, vol. 2, no. suppl. 1, November 1995, BASINGSTOKE, GB, page S20 XP000645026 D. CURIEL: "Strategies to accomplish targeted tumor cell cytotoxicity." see abstract 71 ---	1,3-7, 10-18
X	THE JOURNAL OF CLINICAL INVESTIGATION, vol. 95, no. 4, April 1995, NEW YORK, NY, USA, pages 1897-1905, XP000645039 X. WU ET AL.: "Apoptosis induced by an anti-epidermal growth factor receptor monoclonal antibody in a human colorectal carcinoma cell line and its delay by insulin." cited in the application see the whole document ---	1,3-7, 10-18
A	GROWTH FACTORS, vol. 4, no. 4, 1991, LONDON, GB, pages 305-316, XP000645022 R. CAMPOS-GONZALEZ ET AL.: "Immunodetection of the ligand-activated receptor for epidermal growth factor." see the whole document ---	2,8,9
A	BIOCHEMISTRY, vol. 31, no. 24, 23 June 1992, WASHINGTON, DC, USA, pages 5434-5441, XP002027855 R. KELLEY ET AL.: "Antigen binding thermodynamics and antiproliferative effects of chimeric and humanized anti-p185HER2 antibody Fab fragments." see abstract ---	3,4,7, 16,17
A	WO 94 00136 A (MOLECULAR ONCOLOGY INC.) 6 January 1994 see abstract ---	1-18
1		-/-

## INTERNATIONAL SEARCH REPORT

Inte onal Application No  
PCT/US 96/19289

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
P,X	BIOCHEMICAL AND BIOPHYSICAL RESEARCH COMMUNICATIONS, vol. 226, no. 1, 4 September 1996, DULUTH, MN, USA, pages 59-69, XP002027856 Y. KITA ET AL.: "ErbB receptor activation, cell morphology changes, and apoptosis induced by anti-Her2 monoclonal antibodies." see the whole document ---	1-18
P,X	WO 96 07321 A (THE UAB RESEARCH FOUNDATION) 14 March 1996 see page 26, line 11 - line 31 see claims -----	1,3-7, 10-18

1

## INTERNATIONAL SEARCH REPORT

## Box I Observations where certain claims were found unsearchable (Continuation of item 1 of first sheet)

This International Search Report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1.  Claims Nos.: 12-14  
because they relate to subject matter not required to be searched by this Authority, namely:  
**Remark:** Although these claims are directed to a method of treatment of the human/animal body, the search has been carried out and based on the alleged effects of the compound/composition.
2.  Claims Nos.:  
because they relate to parts of the International Application that do not comply with the prescribed requirements to such an extent that no meaningful International Search can be carried out, specifically:
3.  Claims Nos.:  
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

## Box II Observations where unity of invention is lacking (Continuation of item 2 of first sheet)

This International Searching Authority found multiple inventions in this international application, as follows:

1.  As all required additional search fees were timely paid by the applicant, this International Search Report covers all searchable claims.
2.  As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
3.  As only some of the required additional search fees were timely paid by the applicant, this International Search Report covers only those claims for which fees were paid, specifically claims Nos.:
4.  No required additional search fees were timely paid by the applicant. Consequently, this International Search Report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

## Remark on Protest

- The additional search fees were accompanied by the applicant's protest.  
 No protest accompanied the payment of additional search fees

## INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/US 96/19289

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
WO 9400136 A	06-01-94	AU 3773393 A CA 2120745 A EP 0655924 A FI 941572 A JP 8504172 T US 5587458 A	24-01-94 06-01-94 07-06-95 27-05-94 07-05-96 24-12-96
WO 9607321 A	14-03-96	NONE	

Form PCT/ISA/210 (patent family annex) (July 1992)